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ABSTRACT

Program presentations on issues related to bibliographic control and access to collections and business meeting minutes are combined in this report. Under the program title, "The Sum of the Parts: Sharing Responsibility," the following addresses are included: (1) "The Building Blocks: Elements in a System of Distributed Responsibility," by Martin Runkle; (2) "The Keystone: The Role of the Library of Congress," Lucia Rather; (3) "The Barriers: Knowing and Facing the Problems," Henriette Avram; and (4) "The Blueprint: A Plan for Action," David Bishop. A concluding discussion covers points from all four papers. Business meeting minutes summarize a preliminary session and present details of the second session. Reports from the Office of Management Studies, the Council on Library Resources, and the ARL Executive Director and President are included, as well as descriptions of the election of new board members and consideration of a new member library. Appendices provide background documents for the program session, including "Authority Control and Its Place," by Henriette Avram; a summary of responses to an ARL questionnaire on accepting cataloging copy; additional reports; and lists of meeting participants; members of the ARL board, task forces, and committees; and member libraries. (LMM)

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Minutes

of the

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Meeting



The Association of Research Libraries

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The Sum of the Parts: Sharing the Responsibility for Bibliographic Control

Minutes

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103rd

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ASSOCIATION OF RESEARCH LIBRARIES

Minutes of the 103rd Meeting

James F. Govan, Presiding

The 103rd Membership Meeting of the Association of Research Libraries was held at the Carolina Inn, Chapel Hill, North Carolina, on October 19-20, 1983.

The program session convened on October 20. After welcoming guests of the Association, Mr. Govan turned the meeting over to Program Coordinator Eldred Smith.

INTRODUCTION

MR. SMITH (University of Minnesota): The program deals with a cluster of very critical issues for all of us. It is very much the work of the ARL Committee on Bibliographic Control. It was originally proposed by the past chair of that Committee, Jim Govan on the committee's behalf, and it has been planned and developed by the committee under its current chair. It gives me great pleasure to turn the program over to that individual, a person who I believe is at least as well qualified as any in our field to moderate a program of this kind: Joe Rosenthal.

MR. ROSENTHAL (University of California, Berkeley): Thank you, Eldred.

This morning's program is brought to you from Lake Woebegone by the Association's Committee on Bibliographic Control. I want to emphasize that it is very much a committee effort and, in addition to the speakers who double as committee members, I want to thank Margaret Beckman, Kaye Gapen, Joe Howard, Merle Boylan—a former member of the committee and Nicky Daval and Carol Mandel for their substantial contributions.

We expect that the program will be to each of you—to a greater or lesser extent—informative. And, we hope that the presentations will enable you, the members of the Association to assess where we are with respect to the bibliographic control. But, even more, we hope the program will stimulate you and the Association as a collective entity to examine the problems and the possibilities for enhancing bibliographic control and access to our collections, and to work as an organization toward achieving that objective.

All of us involved in this program have attempted to make it an integrated presentation. Nevertheless, there will be some overlap and perhaps some redundancy. Because this area is complex, I do not think that a modest amount of repetition or covering the same ground is necessarily harmful. We have deliberately encouraged each of the four speakers to address one topic because of its centrality and because of its controversial aspects, that of bibliographic control. And, as background, I hope you have read the preprint of Henriette Avram's article for the January 1984 issue of the Journal of Academic Librarianship entitled, "Authority Control and Its Place"—a very deliberately and carefully chosen title.

I hope that all of us members of the Association realize that we are grap -- grappling with one of the great library issues of not only our time but of bibliotechal history. I have been trudging through the swamp of authority control for about twenty years and, as I recall, at the beginning of this century Charles Cutter had a number of well chosen words to say on the subject, except he did not use the precise term. I expect all four of our speakers to touch on this subject, and although the Committee helped to shape the general outlines of the forum, I want you to know that we imposed no prior censorship on the content of the presentations. I am not certain whether we are about to hear an analog of the harmonies of last night's Red Clay Ramblers or something akin to Cybelias' intimate voices or sounds more like the noises of Garfield and his friends on the back fence. We have, however, left lots of opportunity for the chorus.

After each speaker, I will open the floor for questions. In case the question from the floor leads into one of the succeeding presentations, the particular speaker will indicate that he or she wishes to defer a response until the formal remarks.

THE BUILDING BLOCKS:
ELEMENTS IN A SYSTEM OF DISTRIBUTED RESPONSIBILITY

Martin Runkle
University of Chicago

MR. ROSENTHAL: Our first speaker is Martin Runkle, whose authoritative background includes some intrusion on what has been regarded up to now as the exclusive interest of Stuart Forth and Jane Austen. Martin is not only a fan, but I suspect that he has contributed to the definitive bibliographical representation of the works of Jane Austen. He is, not incidentally, the Director of the University of Chicago Library.

MR. RUNKLE: As you can see from the program, my role is to describe some fundamental elements in a plan of shared system of bibliographical control. I have organized my comments around eight basic assertions, which I am calling assertions rather than assumptions because not everyone agrees with them.

Assertion 1

For the foreseeable future, local library catalogs will be maintained as the primary tool for access to the collections held by research libraries. Though the content and format of these catalogs will change, we will continue to have staff to create and maintain them and they will continue to cost a lot of money. The library's catalog is only one element in a vast array of elements in any library system for providing access to materials held locally or elsewhere. This array will grow and its elements will become more complex and more responsive as technology advances, but the catalog of a local collections will remain the most important element for most of the daily use of our collections.

Though the continued existence of our local catalogs might be obvious and unquestioned by everyone here, I suspect that we sometimes have in the back of our minds a vague notion that the local catalog will somehow soon be made obsolete or be absorbed into some other system of access, and that the problems and costs of maintaining them will go away. This attitude of uncertainty can get in the way of our working more aggressively to increase the efficiency of creating and maintaining our catalogs.

Assertion 2

The traditional objectives of a library catalog as put forth by Cutter and in the Paris Principles are still valid. As repetitious as this may be, I must repeat definitions. There are two kinds of access specified in these principles. One is the finding function: the catalog should serve as a location tool for an item known to the user before he or she approaches the catalog. The user wants to ascertain whether or not the item is in the collection, and if it is, how it can be obtained.

The second kind of access is usually called bibliographic access: the catalog should serve as a tool for identifying all the works of a particular author and all the versions of a particular work. Library catalogs also identify groups of items that are related in other ways—other works in the same series or multi-volume set, for

example. It is thought that the objective of providing bibliographic access creates most of the cost of cataloging, because of its requirement for authority control activities.

Providing a unique description of a bibliographic item is a relatively straight-forward task. The more complex part is the identification of relationships among items and linking the basic bibliographic descriptions to one another by assigning consistent heading forms. This activity cannot be automated, though automated systems can facilitate the process. Because of the variations in ways of rendering the same names and titles, a human being must perceive the relationships and establish the links.

Descriptive cataloging is partially a process of building bibliographies of authors' works—accurately attributing authorship and compiling the records related to a particular author, never mixing the works of what are actually separate authors, and never separating the works of an author under more than one form of name, at least not without providing connecting links. Unfortunately, forms of names and titles are not static. Established headings and references must be modified as new knowledge is gained about relationships and about identities of people and corporate bodies. Old records must often be changed.

The argument is often made that if we abandoned the objective of revealing the works of an author and the versions of the work and instead had the simple objective of creating a finding list, we could create records from title pages in a straight forward way and eliminate the expense of authority control activities.

Ake Koel in an article in the *Journal of Academic Librarianship* in September 1981 puts forth the following question: "It is tempting to contemplate...what the impact on the user would be if we constructed a catalog without normalizing headings....Such a catalog would not display all the works by an author together if the author had used different forms or fullness of name in his or her works. Nor would all editions and translations of a work be displayed together if they had been published under titles different from that of the original work. How much would this affect searches for a known item? Probably very little or none at all...."

Assertion 3

The dichotomy between bibliographic searching and known-item searching is a false one. Provision of consistent entry headings is indispensable to providing the finding list function. Michael Malinconico, and before him, Seymour Lubetzky, have argued this point forcefully.

In the conclusion of Ake Koel's article, he states that "it is...clear that future changes and improvements of the conventions and methods of bibliographic control must be based more on research data and less on guesses, hunches, and a priori reasoning, often masquerading as experience that cannot or should not be questioned...."

I agree with Mr. Koel that continued examination of the use and effectiveness of our library catalogs is important and an obligation. Online catalogs are providing new opportunities for such analysis and research, which will help us improve and refine the organization of our catalogs. But my judgment based on my experience tells me that as files grow larger, with millions of entry headings, it becomes

increasingly difficult to find even known items. The difficulty would be compounded without some structure imposed on the file and consistent entry headings are a good mechanical technique for doing this. If we did not have the AACR rules for formulating name headings, we would have to invent them. It is not clear that the new invention would be very different in essence or in detail.

Assertion 4

In addition to its contribution to improving the catalog as a finding list, identifying versions of a work and works of an author has its own inherent value. It is a valuable aid in the work of scholars and researchers, and perhaps more important in the educational program of our students, providing as it does some structure to the enormous amount of material in our libraries, and revealing in a rather coherent way the relationships among materials, drawing attention to sources not previously considered. Surely this service is worth some cost.

A great advantage of learning about the existence of materials through the local catalog, by the way, is that these materials are, or at least should be, rather readily and immediately available. Though future analysis of interactions with catalogs may enlighten us about this supposed benefit, we will still have a difficult time establishing a cost/benefit ratio, and judgment will continue to be an important factor in our decisions about the structure of catalogs. Ultimately, how does one justify the cost of liberal learning and basic scholarship and research?

The term authority control has become a loaded word, as corporate author and main entry once were when controversies raged over their use and meaning. It is true that AACR-1, and some would say AACR-2, focused too much on the centrality of the author main entry, implying that a cataloger had failed in some way if he or she could not find someone or something to call the main author. Computer-held files created the potential for all entries to be equally accessible, and people started saying that the concept of main entry was dead: the main entry now is just another entry. But something got lost in this extreme position, since the concept of main author is still valid, and if there is an identifiable main author it should be identified as such in the catalog record. The substance of the issues related to the term main entry was lost in extreme positions and disagreements over definitions.

It seems that we are now in a similar position with the term authority control. The attitudes of some cataloging purists are rigid and defensive and unrealistic. (As a former cataloger, I am free to say that.) The insistence of some catalogers to continue doing things as they have always been done can be maddening. Would you believe that when the computer production of catalog cards was implemented at the University of Chicago back in 1967, subject headings were printed in red because that was the way it had always been done? And it took our Law Library eight years to stop retyping and photoreproducing the catalog card sets generated by the computer, because the cards were considered ugly. Cataloging practices should be constantly scrutinized and evaluated, but the total rejection of authority control is extreme.

I heard an ARL director dismiss authority control as unnecessary, using as evidence the success of a locally created online catalog for government documents, without authority control. On further examination, the fact emerged that names of government agencies are in fact entered into the files in consistent forms, from printed lists, and that a cataloger is consulted on occasions when ambiguities are

discovered. One might argue from the example of this system that cross-references are not required in an online catalog of well-defined and limited scope, so long as entry headings are consistent. But one cannot argue from this example that all aspects of authority control are unnecessary.

Some have concluded that component word or keyword access makes authority control extraneous. It is true that component word access does obviate the utility of certain cross-references that provide access to sub-elements of headings, such as to a unit of a corporate body, or from initials to full surnames or vice versa. But, component word access cannot perform all the functions of cross-references nor does it do what consistent entries do.

Henriette Avram has advised us to, "stop questioning the validity of authority control" and instead reserve our energies for analyzing where in the network configuration or hierarchical structure it should be performed. I whole-heartedly agree. We should work at refining our definition and implementation of authority control. We should not just abandon the whole concept.

Assertion 5

Minimizing duplication of effort in the creation of bibliographic records is in the best interest of the research library community. Although this is obvious, we are too fragmented and uncoordinated in our efforts to improve cooperative programs. Research libraries have saved many millions of dollars in processing costs through the use of cataloging and authority work done by other libraries, mainly the Library of Congress.

Assertion 6

We must not undervalue the continued key role of the Library of Congress as the major provider of primary bibliographic data. In creating our local catalogs, everyone seems to prefer LC or NUC data over records from other sources, including from our own cataloging departments. Our reason for this preference is that LC cataloging is rather consistently of very high quality, in spite of the mistakes that people love to find and snicker at. But perhaps more important, by using LC and the NUC cataloging, some degree of consistency in entry heading forms can be achieved in our local catalogs, with minimal cost and attention. Because LC collects and catalogs so broadly and more nearly comprehensively than any other library, most research libraries can use LC cataloging for the majority of their catalog records and thus assure a high degree of consistency in entry heading forms. How can we measure the beneficial effect that LC cataloging has had on many thousands of library catalogs².

But LC does not and cannot catalog everything, and has tried through the years to develop cooperative cataloging projects. A great stumbling block has been the lack of timely access to the common authority file, since formulation of heading forms depends on a single authority structure and can be affected by what is already in the file. Technology is relieving these problems of timeliness and access, and LC is utilizing the technology to advance workable cooperative programs.

Assertion 7

Effective sharing of records will require that records supplied to a common data base be monitored by a single agency to insure the consistency, accuracy, and integrity of the data and the authority structure, much as the National Union Catalog is maintained.

Assertion 8

Even assuming a central monitoring agency with the authority to alter records, effective sharing of bibliographic records requires conscientious adherence to agreed-upon standards. When considering standards in relation to bibliographic records, we must consider separately the distinct elements of the records—description, choice of headings, forms of headings, subject terms and numbers, identification numbers, formats of records, encoding of data for manipulation or retrieval, etc.

We have come a long way in developing and implementing standards. It is true that in a way we are sometimes shackled by them, but I do not believe anybody would advocate a system of creative cataloging.

"Minimal level catalog record" for retrospective and current cataloging has become another loaded term, meaning many different things to different people. Whatever it means, I hope that no one defines it as a quick and dirty transcription of a shelflist card. Minimal does not imply inaccurate, nor lowest common denominator in the worst sense. Even if minimal, it must still be of high quality. Contributors to a national data base must be willing to bear the responsibility of meeting prescribed standards. I would say that in general we should err on the side of standards that are too high rather than too low, in their requirements for accuracy and completeness. If a record is done right once, it does not have to be redone. Unfortunately, we had some disagreement on what is right.

THE KEYSTONE:
THE ROLE OF THE LIBRARY OF CONGRESS

Lucia J. Rather
The Library of Congress

Although the Library of Congress is not a national library in a legal sense, it has taken on many of the activities generally associated with such an agency. In fact it is safe to assert that no national library provides the same range of services offered by LC. These services began in 1901 with the distribution of printed cards and have since been expanded to cover a wide range of products including MARC tapes, books catalogs, LC subject headings, classification schedules, name authorities, MARC formats, code lists, and others. Current cataloging runs at about 160,000 titles per year.

Past Cooperative Efforts.

In 1976, at a meeting in Pittsburgh, William Welsh, Deputy Librarian of Congress, stated the proposition that it was impossible for the Library of Congress to do it all, and called on the nation's research libraries to join LC in providing a national bibliographic data base. The idea of cooperation was not new. LC had worked with other libraries for many years in various collaborative efforts.

The "granddaddy" of these projects was the National Union Catalog, begun in 1927. This project originally resulted in a union card catalog at LC, but in 1953 LC began to issue the information in book form. Since 1983, it has been put into machine-readable form and sold on computer-output microfiche.

Less successful was the Cooperative Cataloging Project, which was tried in the 1940s and 1950s and finally abandoned as unworkable in the early 1960s. In retrospect, the following factors seem to have contributed to its demise. First, there was no firm agreement on a common set of cataloging rules. As late as 1960, some contributing libraries were still following the 1908 rules. Second, LC catalogers reviewed each catalog record completely and returned the updated version to the contributing library for concurrence before it was accepted for printing. Third, this tedious procedure was handled entirely by mail. Turn around time frequently exceeded a year.

A cooperative program to produce MARC records (COMARC) was carried out from 1974 to 1978. Under this program, 12 libraries agreed to create MARC records based on old LC catalog cards and send these to LC for addition to the data base. Under COMARC, complete agreement was reached regarding MARC editing conventions. LC staff compared the resulting records against the Official Catalog and reviewed the content designation. This program was more promising but the verification procedures were very time consuming and in the lean budget years after 1978, LC could not continue the project.

Current Cooperative Efforts

CONSER. LC's current automated cooperative ventures really began in 1973 with plans for the CONSER project. The purpose of CONSER was to create a

centralized, standardized machine-readable data base of serial records. OCLC agreed to provide the host file and participant input began in 1975. The Council on Library Resources sponsored the original project and provided management until 1977 when OCLC assumed this responsibility. The Library of Congress and the National Library of Canada serve as the technical managers for bibliographic practices and review or "authenticate" each record input by the participants. (The National Library of Canada authenticates Canadian imprints and LC authenticates all others.) All authenticated records are sent to LC where they are distributed through the MARC Distribution Service. OCLC has also supplied two "snapshots" of the total CONSER file which have been distributed by LC. Unauthenticated records have also been made available on a monthly tape since 1981. As of August 1983, there were 19 participants and approximately 450,000 records on the CONSER data base (of which about a third were authenticated).

The use of the online capabilities of the OCLC system contributed immensely to the success of the project. Participants were able to streamline their procedures and records were made available for use quickly. The CONSER participants also agreed on mutual cataloging rules and conventions. Authentication has turned out to be a costly procedure, however, and LC has not been able to keep up with participant input. Discussions are now being held to determine the possibility of allowing the participants to authenticate their own records.

CONSER has also been used as the vehicle to support a number of other projects. The National Serials Data Program, located at LC, inputs its records to CONSER. Since 1981, New Serial Titles has been produced from records on the CONSER data base. A project is now underway to create a centralized newspaper data base. This effort, sponsored by the National Endowment for the Humanities, currently involves the participation of ten repositories. LC is providing technical management and support. It is expected that the participants will add an estimated 35,000 titles to the data base in the next two years. Finally, the data base is being enriched with information regarding coverage by the abstracting and indexing services. This project, sponsored by the Association of Research Libraries and the National Federation of Abstracting and Information Services, will enable researchers to learn where serials of interest are indexed, and facilitate access to high-demand serials.

NACO. The Name Authority Co-op (NACO) was the second major cooperative project. The purpose of NACO was to add new name authority records to LC's name authority file for use in LC and for distribution. NACO began in 1977 with an agreement with the U.S. Government Printing Office Library. It was expanded in 1979 when the Texas State Library joined and now includes 28 libraries and agencies. Some 76,000 records have been contributed by NACO participants.

It was realized when NACO was established that the most efficient cooperation would come through use of an online system. In 1977, neither LC nor the network utilities had such a capability for authority records. The Library decided that the experience gained would be valuable enough to offset the problems of using a batch system. The experiment was begun by having participants search the NUC and the Name Authority microfiche to determine if a heading had been established. If the heading was not found, the participant filled out an LC name authority worksheet and submitted it to LC. At LC, the record was searched against the LC files, reviewed by a cataloger, and then input to the LC MARC data base.

Based on the experience gained in CONSER, this project did not include the

concept of authentication. New participants were given two weeks training and orientation at LC and agreed to follow not only the same cataloging rules but the same rule interpretations as well. LC staff monitored the quality of the submissions and when the participant reached the required level of proficiency, placed the library in an independent status. After this LC cataloging staff made spot checks but no longer examined each record. This cut down on the workload but two problems remained: (1) filling out LC worksheets constituted extra work for the participating libraries, and (2) since the files at LC contained names unavailable to participating libraries, LC had to continue to re-search all headings submitted, even those from the independent libraries. The latter problem was solved with a switch at LC to total reliance on the MARC data base containing bibliographic records and name authority records. Shortly before this, a few libraries (selected for both the quality and the quantity of their submissions) were given the ability to search LC's online files. Since these libraries were searching the same files as those searched by LC catalogers, LC no longer searched records from these participants, thus cutting down on the manpower required at LC for the project.

GPO Bibliographic Project. A second project was begun at LC as an offshoot of GPO participation in NACO. In January 1981, after considerable negotiation regarding rule interpretations, LC began to use GPO bibliographic records for its U.S. government documents. Under this procedure, government documents were searched by library technicians against OCLC and printouts of GPO records were made. After modification of pertinent authority records to show that the headings were not used in LC, the printouts were sent directly to Subject Cataloging for completion of the record, bypassing the descriptive process. More than 7,000 records have been handled by this project. The arrangement is not ideal since the record must be re-input, but it has given LC a valuable experience in bibliographic cooperation which was useful in its next big experiment—online cooperation with Harvard and Chicago. Similar to the GPO bibliographic project is one planned for 1984 with the National Library of Medicine by which NLM will assume responsibility for the descriptive cataloging for all monographs processed through the Cataloging-In-Publication program that deal with medical science and related fields.

Online Bibliographic Cooperation: Harvard and Chicago. Experience with NACO and the GPO Bibliographic Project led the Library to consider the next project—online input of bibliographic records and their related name and subject authorities to LC's automated system. This was made possible by the fact that in 1981 and 1982, LC's system was enhanced to provide the capability for online corrections to the books data base and online input and update capability for name authorities. Under this project, cooperating institutions procured terminals which were hooked directly into the LC. Because of the problem of contention on the LC computer, this project has so far been limited to two libraries: Harvard and Chicago. Again, the principle behind the cooperation has been extensive discussion to ensure that the participants are following not only the same rules but also the same rule interpretations and intensive training at LC. Both libraries began actual input in the spring of 1983 and have nearly achieved a fully independent status. All records will be distributed on the MARC tapes.

Harvard is inputting new records which are flagged as "Not in LC." It can also complete preliminary records or upgrade Minimum Level Records to full cataloging. Full name and subject authority work are done, and LC classification numbers are included. LC hopes that this project will allow its catalogers to join the other catalogers of the nation in a new activity—copy cataloging. When LC receives a new title, and the searcher determines that the record has been cataloged by

Harvard, the "Not in LC" information will be removed and the book will be sent directly to the LC sheflist for addition to the collection. The call number will be modified if necessary and the record will be redistributed.

Chicago's participation grew out of a project to merge its own science and technology collections with those of the John Crerar Library. Since different cataloging rules had been used in the two collections, Chicago decided that the best solution would be to reprocess the records from the two collections. One obvious idea was to use LC cataloging copy when available. Chicago is therefore inputting old LC cataloging records that have never been converted to MARC. Chicago brings name, series, and subject headings up to date and provides the requisite authority work but does not alter the bibliographic description.

The Harvard/Chicago project has been operational for only a short time, but LC will be watching it closely as it serves as a prototype for future cooperation.

Linked Systems Project. Even if the Harvard/Chicago project fulfills all our hopes, it is clear that LC is not in the position to become a network utility with many libraries hooked directly into its own system. For this reason, in 1980 LC joined WLN and RLIN in the Linked Systems Project (LSP), an undertaking sponsored by the Council on Library Resources to implement a computer-to-computer link for the exchange of data. The telecommunication hookup between the systems is nearing completion.

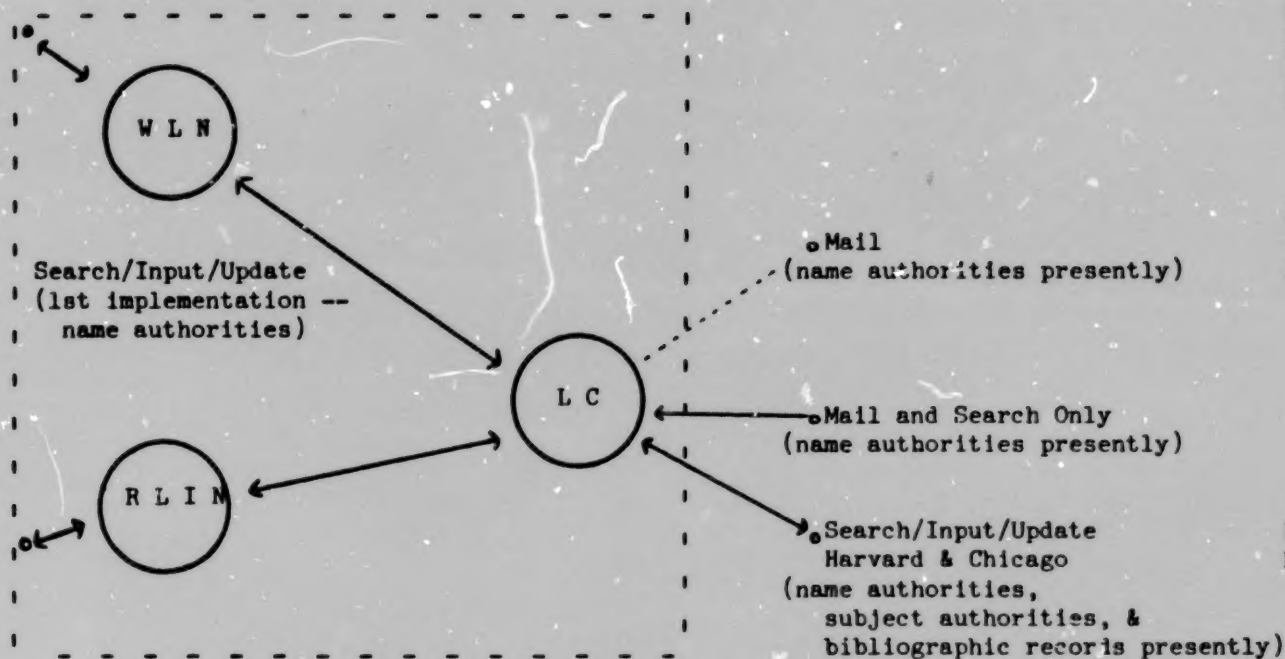
Work is now proceeding on the first application, the cooperative creation of name authorities (NACO/LSP). Under this system, the master file will be located at LC—actually it is simply an extension of LC's own authority file. Duplicate files will be located at WLN and RLIN. The system will operate as follows: LC staff will search and input records into LC's data base. This data will be sent over communications lines to WLN and RLIN where those data bases will be updated, although not necessarily in real time. Participants using RLIN and WLN will search their own files and add new records using their own systems. This data, in turn, will be "burst" back to LC. This means that the duplicate data bases will not be totally synchronized. However, some duplicate checking will be performed by the systems, and it is expected that any duplicates discovered subsequently can be handled by a manual correction process. If a record is to be updated, a flag will be set in all data bases to show that no participant should try to change the record before the first update is complete. All records created through the system will be made available through the MARC Distribution Service.

LC will serve as bibliographic monitor of the project. Cooperating libraries will agree to the same guidelines as the NACO participants and undergo similar training. It seems likely that the first participants will be chosen from among those WLN and RLIN libraries already participating in NACO. It is expected that the system will become partially operational in mid-1984.

CODABASE. All of these projects are now being fitted together at LC into an overall system called the Cooperative Data Base Building System (CODABASE). CODABASE is a two-dimensional system in that it covers various types of records (bibliographic records and name and subject authorities) contributed through a variety of mechanisms. The mechanisms depend on various factors including the need to control use of the LC system and the capabilities of the participating libraries. Four methods of contribution have been defined. Under the simplest arrangements, libraries search the LC files available to them (OCLC, NUC on COM,

Library of Congress
Cooperative Data Base Building System
(CODABASE)

Linked Systems Project



Record Types

Name & series authorities=NACO
Subject authorities =?
Bibliographic records =?
Location records =?

Criteria

1. Participants selected by LC
2. Each cooperative effort may or may not have different participants

Products

Name Authority File Service
MARC Distribution Service

etc.) and submit records on LC worksheets by mail. A second method uses mail submission, but the cooperating library has a terminal that enables it to search the LC files directly. These two methods are used by the current NACO participants. Under the third method, a library inputs directly to LC. Harvard and Chicago use this method, but its use is limited by constraints on the LC system. The last method is contribution via a computer-to-computer link. This appears to be the most promising method, but it is yet to be tested.

RLG Chinese/Japanese/Korean Project. The RLG/CJK Project is somewhat similar to CONSER in that the master data base will be housed outside LC. The Research Libraries Group has developed a system that allows the input and processing of Chinese, Japanese, and Korean bibliographic records with oriental characters. LC is joining 16 other libraries in creating a cooperative data base. The records will include vernacular and romanized fields and may be accessed by either kind of character string. The data will be returned to LC where the romanized portion will be added to the LC data base. The records will appear in romanized form in the National Union Catalog and will also be distributed through the MARC Distribution Service. LC will continue to print cards containing both romanized headings and vernacular body of the entry.

LC participation in the project began in September. Selected staff have been trained in the new system and will participate in a pilot project this fall to determine the best workflow for this new procedure. Full operation is planned for 1984.

Other Name Authority Projects. LC is enhancing its name authority file in other ways. For a number of years, we have been working closely with the National Library of Canada in the area of corporate headings. LC catalogers search Canadian Authorities and use the form found there for Canadian corporate bodies. If a heading is not found, LC calls or telexes NLC for an established heading. In 1983, both libraries agreed to extend the program to personal names under a slightly altered arrangement.

We also hope to expand the data base considerably in 1984 by the inclusion of authorities from the National Union Catalog. NUC staff will prepare preliminary authority records based on the bibliographic records they receive and input these to the name authority file. These headings will be modified, if necessary, and upgraded to full records when they are needed by LC catalogers or NACO participants.

Subject Authorities. Cooperation is just beginning in this area, largely because there is still no online subject heading input and update system to facilitate the effort. Harvard and Chicago are adding subject headings to their bibliographic records and are able to propose new subject headings as necessary. They will provide the necessary background documentation and new headings will be reviewed at the weekly editorial meeting before being added to the data base.

Another cooperative venture is the Extended Vocabulary Project. Originally proposed by Carol Mandel, this project was funded in its planning stages by the Council on Library Resources and set up by Pauline Cochrane. The purpose of the project is to augment LC's subject heading entry vocabulary by requesting selected libraries to submit proposals for additional see references. It was hoped that this would allow users to approach the data base by an expanded number of terms without the costly modification of the headings themselves. Duke, Harvard, the University of California at Berkeley, and the National Library of Canada were the

initial participants. During the initial phase, 324 proposals were received of which slightly under 50 percent were added to the data base.

Expansion of this project awaits the appointment of a Coordinator of Cooperative Cataloging Projects early this fall. It is expected that this person will enable us to expand subject heading cooperation in a number of areas. These include work with the Government Printing Office to allow LC to accept the subject headings on their bibliographic records without modification, work with the National Libraries of Canada and Australia in solving the discrepancies between their subject lists and LCSH, and exploration of methods for allowing selected participating libraries to submit proposals for new subject headings to LC for consideration.

Minimal Level Cataloging. Despite all of the cooperative efforts already described, it is clear that there are some publications which are not worth the great expense of full cataloging, authority work, and subject analysis. LC faced this problem in confronting its vast uncataloged collections and arrearages containing materials which were not easily available to users. For the most part, these were low priority items or large collections which LC had never had the staff to handle--and it appeared that it never would. The decision was made that a lower level of access was better than no access.

It seemed likely that this problem also faced other libraries. Therefore, in January 1979 LC and ARL jointly sponsored a meeting of technical processing directors to decide what the essential elements in a national minimal level record should be. Several basic guidelines were adopted.

1. The minimal level record was a base below which a national-level record should not go. However, it should be possible to create a record at a level more complete than minimal level, but less complete than full cataloging.
2. The record should be self-defining--that is, it should contain a code showing what features (name authority work, subject headings, etc.) had been completed. This was necessary to show at a glance what work would be necessary to complete the cataloging.
3. That portion of the record required should be accurate so that it could be used as a base on which a fuller record could be built. For this reason it should be created with book in hand.

Following these guidelines, a minimal level record was defined.

1. The record should have AACR 2, level 1 description for the body of the entry. It was agreed that this portion of the cataloging could be done relatively inexpensively by non-professional personnel.
2. A main entry should be included if this was required by AACR 2. Full searching for headings should be carried out against appropriate authority and bibliographic files so that the established form of name could be used. Where no established form was found, an AACR 2 heading should be formulated but no authority work was required.
3. Full content designation should be carried out for those data that were carried in the record.

4. Name authority work, subject headings, and classification were optional.

The resulting record had a number of advantages. It could be created quickly and inexpensively by non-professional staff. It provided the basis for main entry/title and title approach in most automated systems. In some systems, the record could also be searched by series and by keywords in the main entry title, and series. It provided a core record that could be enhanced by another library, but the information already carried in the record would generally need no modification.

Minimal level cataloging was begun at LC in 1980. The data base now contains over 40,000 records including those for books, serials, and microforms. Distribution of these records is planned for late 1983.

LC has now decided to use this technique systematically to obtain control of its 300,000 record cataloging arrears which contains items that go back to the 1940's. A special project has been set up to re-select this arrears. Some items will be discarded and some will be flagged to indicate the need for full cataloging. The bulk of the material, however, will be designated for minimal level cataloging. A four-year project is anticipated under which most of these books will be cataloged, much of it by contract.

Network Advisory Committee.

LC's cooperative efforts have extended beyond the building of bibliographic data bases. On a more theoretical and information level is the Network Advisory Committee (NAC). NAC held its first meeting at LC in April 1976, with a membership primarily representing the library network organizations. In June 1977, a planning paper Toward a National Library and Information Service Network: The Library Bibliographic Component was published, and for the first few years the committee devoted its meetings to monitoring the activities established in response to the recommendations given in this paper. Between 1968 and 1979, the membership began to expand to include representatives from associations and the non-library information sector and to work closely with the Council on Library Resources Bibliographic Services Development Program.

Over the years, the role of NAC has changed. Its most important attribute is bringing together different segments of the information community to address complex networking issues in which all have a stake. A single topic is now selected for each meeting and discussed in depth. Issues have included governance, compensation for the creators and processors of bibliographic records, document delivery and the new technology, public sector/private sector concerns regarding networking, and the emerging statewide computerized bibliographic activities and their relationship with state library agencies. NAC is a unique forum for the sharing of information and concerns in the area of library networking.

Conclusion.

These activities represent LC's efforts to respond via cooperative projects to the bibliographic needs of the nation. They represent a good beginning, but much work remains to be done. Other speakers at this morning's meeting will describe some of the problems that we face as well as some possible solutions.

THE BARRIERS:
KNOWING AND FACING THE PROBLEMS

Henriette Avram
Library of Congress

MR. ROSENTHAL: We are now going to hear Henriette Avram speak about "The Barriers: Knowing and Facing the Problems." Henriette had for us the good sense at some point in the Neanderthal era of library automation to volunteer to run a library in a software firm with which she was associated, and the rest, as we know is history. Henriette.

MS. AVRAM: We have just heard Marty Run'le state that bibliographic control is basic to the organization and operation of a library, regardless of whether these operations are being conducted in a manual or machine mode. Lucia Rather then went on to describe the activities of the Library of Congress (LC), including its growing cooperative efforts, which are based on the realization that the successful building of a national bibliographic apparatus is dependent on more than one organization. Lucia said we were just beginning. I would like to modify that and say we have been beginning for 18 years now, but we are getting there!

We are also all aware of the technical achievements of the major bibliographic utilities, the information services, the other national libraries, etc. Yet, in spite of all this progress, there is a gnawing awareness that there are still significant barriers to achieving effective library service. These barriers are not predominantly technical, the technical—problems that exist can be overcome in time. The barriers that do exist are principally those created by people.

It appeared to the planners of this session that our future progress depends on an understanding by library administrators of what the barriers are, in order that they can directly, or through others, contribute to removing them. I have been assigned the task of describing my perception of the problems making up the barriers and discussing with you, when possible, what we might do to resolve them. The nature of my response to today's assignment places me in an uncomfortable role. The essence of a problem must be stated if it is to be discussed and in this case that essence is people. Even when discussing organizations, which are of course made up of people, I risk treading on sensitivities. Therefore, I ask your forbearance as I tiptoe through the minefield.

The problems considered in this paper are of two kinds—both constituting roadblocks in the way of our efforts to create a comprehensive system of bibliographic control. My discussion of the first type of problem may be thought of as an "alert", i.e. a warning or an alarm to individual directors. For those of you who are aware of the problems of this type, I ask your indulgence. The second type of problem is in a way more significant because it is created by organizations or people not under our immediate control. The issues are complex and require much more exploration. Recognition of the issues, bringing them out into the daylight, and taking positive steps as a group towards resolving them would take us a long way in the direction of removing the barriers.

I will introduce each problem with a statement of the problem as I see it and give my views as to why the problem exists; later, David Bishop will give us a plan of action, where applicable, to resolve the problems. Some of these problems I see

from the point of view of the Library of Congress. I assume that we would agree that this is one necessary point of view, since LC does play a major role in the bibliographic aspects of service to users. It should be interesting to learn, during the discussion period, if Association of Research Libraries administrators have different points of view.

The first three problems I shall discuss are of the "alert" type.

1.a. Problem: We are all knowledgeable of the benefits of cooperative cataloging according to established standards, such as cataloging codes and machine formats, so that data can be shared. When it comes to practice, however, we often take liberties with standards. Those who fail to follow standards will often create their own variety of non-standard record. Consequently, those who truly follow standards must either input new records or upgrade somebody else's records.

1.b. Discussion: It is usually true that one high quality machine-readable record costs more to create than a lesser quality record. However, if the item is cataloged and the record is converted to machine-readable form according to standards, everyone who has access to it does not have to repeat the cataloging and conversion process and, in the long run, this will be more cost beneficial than creating multiple records for the same item. Also, it may not cost more in the long run to create standard records if we factor in the losses of those users who fail to find material because the use of bibliographic tools is hampered by the lesser quality of the record. Creating non-standard records yields short term benefits at best.

Technical service staff meet and all agree on standards. Then they go home and deviate from the standards they just agreed to, at first just a little bit, and then just a little bit more. The result is really non-standardization and difficulty in sharing data. Why must each library feel compelled to "differentiate its product", however minutely? Has any research library really investigated the cost to itself of following standards versus the cost of not following standards? Has anyone considered the aggregate costs to the entire community of following versus not following standards?

There is no doubt that at the onset of any cooperative cataloging project, such as the Name Authority Cooperative Project (NACO) or CONSER, cooperation is an act of faith. The first libraries involved may not have initial net benefits from the cooperation, but as time passes and more libraries are involved and the data base becomes larger, all will benefit. The NACO project is a cooperative arrangement that has yielded both positive and negative results with respect to costs. LC and its NACO partners are continuing to work toward refinements that will make this cooperation more cost effective to all parties. You, as library administrators, are in the position to encourage standardized cooperative activities.

2.a. Problem: We agree to an objective, then we begin to question the decision and, consequently, attaining the objective by the most economical means is difficult.

2.b. Discussion: We live in a democracy and recognize that we cannot and should not stifle criticism. It often happens, however, that statements are made by individuals without enough understanding of either the problems or the solutions. Others, also without the necessary understanding, immediately join in. The erroneous ideas generated take hold and those with the necessary understanding spend countless hours setting the record straight. For example, several years ago, the Council on Library Resources (CLR) called together a group of experienced

technical processing librarians, including staff from the bibliographic utilities, to determine whether the cooperative building of the nationwide machine-readable name authority file was desirable. The response was definitely positive and a Name Authority File Service Task Force was appointed to set forth the requirements. The administrators of the organizations represented on the task force must certainly have been apprised of these efforts. Additionally, the boards of directors of the utilities involved must also have been informed. And yet, just as our energies were being concentrated on the implementation of the cooperative project, some individuals began to question the need for authority control per se, and some of the same individuals who supported the project initially joined in questioning. And this meant that a tremendous amount of time and energy had to be spent in justifying authority control—again; time and energy that could have been better spent on building the system.

3.a. Problem: There is often a lack of sufficient understanding to adequately measure the cost and benefits of suggested change. Technical people have new ideas but effective management control is needed to fit these ideas into the larger objectives and budget is not only the single organization involved but, in many cases, other affiliated organizations.

3. b. Discussion: No matter at what point we are in the development of a system, experiences and advances in technology will permit us to do a better job the next time around. Consequently, ideas are constantly being put forward to change or redo systems, standards, etc. For example, I would be the last to argue that we could not do a better job if we redesigned MARC today. After all, we have now had 14 years of experience behind us. We could take all forms of material into consideration at once. If we had waited for such analysis 14 years ago we would not have yet begun. But new forms of material that libraries must handle constantly come along so it will never really be possible to do the complete job. Who would have thought of a format for a machine-readable data file or a videodisc in the late 1960s?

There has been an occasional voice in favor of AACR 3. A larger group is calling for a complete overhaul of the Library of Congress Subject Headings (LCSH). LC is willing to consider making changes that are possible within the general framework — and we are currently working to this end. But any major revision of any of these standards would impact the entire library community, nationally and internationally, and would cost countless millions of dollars. What would become of the millions of records we already have in machine-readable form? Starting again in any major process would mean discarding the work of the past. This is not viable in the library environment where access to the past material along with the current is a major requirement. An effort should be made to stop this constant upheaval, which is costly and counter-productive.

Technical processing is the foundation of library service. Library systems are not static, they are dynamic. Changes will occur. Management must always be alert to avoid needless change, and to evaluate all changes with respect to the present facilities. Upward compatibility must be achieved when changes are necessary. Directors must be sufficiently aware of and knowledgeable about trends and developments to control suggestions for such major revisions as AACR 3, MARC 3, and LCSH 2. Directors must be able to forecast the impact of proposed changes on their libraries budget, staffing, operations, and service.

To summarize these first three problem areas that we constantly encounter, the

successful building of a comprehensive system for bibliographic control would be greatly assisted by adhering to the following guidelines:

- a. Follow standards.
- b. Avoid unnecessary reexamination of direction. It is difficult enough to arrive at a consensus or a direction. At best, since so many people and organizations are concerned, the consensus or direction arrived at is fragile in nature and can easily be torn down, to no one's advantage.
- c. Deal with change so that it does not destroy the cumulative progress to date toward a comprehensive system. Change should be evolutionary, not revolutionary.

The remainder of the problem statements and the ensuing discussions are of the second type; i.e. problems created by organizations and people not under our immediate control.

4.a. Problem: Who owns data?

4.b. Discussion: This issue should probably be stated in its more elemental form as the problem of compensating the creators and/or the processors of bibliographic data. Prior to the 1970s, the creators of records did not concern themselves with controlling the use of their records by other institutions. Libraries gave their records freely to LC for publication in the National Union Catalog (NUC) and many libraries used the data with no constraints. In 1976, the NUC publications were copyrighted by the American Library Association (ALA) but only to protect the publisher from total duplication of the volumes by another publisher. Individual use of the records was in no way affected by the copyright. In the late 1970s, there was a growing awareness among a few that, due to the change in the medium, as machine-readable data replaced paper products, and in the mode of transfer, as we began to use magnetic tape and online communications, organizations were becoming increasingly concerned with the control of data from the first to the second, third, etc., parties. One of the major reasons for this is the growth of a new kind of agency, the bibliographic utility that depends for its existence on the revenue from systems that provide data.

As a result of attempts to control the use of records it became necessary to define the extent of record modification necessary for the new record to become the property of the modifier, rather than continuing to be a "copy" of the original record. Since the data is always manipulated by machine, it is difficult to determine when the data has been sufficiently modified to no longer represent the data of the originator.

In 1980, the LC Network Advisory Committee (NAC) planned a program on the ownership and distribution of machine-readable bibliographic data. The forum is one of the earliest attempts to address this issue among all parties in the private and public, for-profit and not-for-profit, sectors. During this same period of time, the Online Computer Library Center (OCLC) held a series of public hearings and adopted the following policy. For member libraries of OCLC or networks contracting with OCLC, there would be no restrictions placed on the use, sharing, or sale of OCLC machine-readable records. However, the transfer of such records to for-profit commercial entities for resale, use, retention, or other purposes that did not directly benefit OCLC, its member libraries, and/or participating networks,

must be coordinated by the OCLC management.

Thus, when NAC held a public hearing in association with the ALA in 1981 on the issues of ownership and distribution, the consensus of those present was that the problems had been settled. During the last two years, however, the problems that were thought not to exist have been constantly brought to our attention because of contractual and legal attempts to control data base usage with the increasing numbers of libraries installing local automated systems. People are now beginning to recognize that the ownership question is central to future library economics and operations.

The economic and legal issues related to the question of data base ownership have had an adverse impact on cooperative bibliographic control. The automation of the NUC production at LC requires receiving contributed records in machine-readable form for the most economical operation. In early conversations with the utilities concerning the LC distribution of these machine-readable records from the reporting libraries, it was apparent that there would be an economic impact. Therefore, under the present arrangements being negotiated with the utilities, LC cannot distribute the machine-readable data base that it will assemble to produce the COM NUC. Thus, it will not be possible for other libraries to have access to the NUC in machine-readable form. Why? Because to do so, the records from the utilities representing the titles of the reporting libraries would be available to all through the MARC distribution service without compensation to the source utility. The benefits of an NUC MARC distribution service would be improved consistency and quality of an increased number of bibliographic records and availability of additional locations.

The data base ownership question also affects the availability of records from other countries. Agreements among various national libraries originally provided for the reciprocal exchange of MARC records representing the imprints of the country. The controls imposed at the time were that: (a) the recipient not produce the national bibliography of the originating country, and (b) the recipient only distribute the data received from the originator within the recipient's country. Inspired by traditions of sharing and the concepts of universal bibliographic control, the original agreements did not address economic issues, for which reason the foundations of international exchange are becoming increasingly shaky.

For a period of approximately two years, the International MARC Network Committee has been wrestling with complex legal and economic issues in order to replace the original exchange agreement of 1980, which no longer satisfies all participants. Where, in the past, the agreement included the distribution of the originator's data within the recipient's country, now several national agencies have expressed unwillingness to have their data distributed within the recipient country to organizations that provide products and services to other agencies. In some cases, the national agency requires a licensing agreement between itself and the organization providing the services. The reason is that, with today's technology, it is possible to access record online across national borders and the national agency does not want to lose its own customer base.

There is another example of international complexities. LC distributes Canadian MARC records within the United States according to the conditions of our exchange agreement with the National Library of Canada (NLC). Recently one of the U.S. utilities added a Canadian customer who desired to have access to these records on that utility. LC has not violated its agreement with NLC but,

nevertheless, it appears that Canadian records will be sold in Canada by other than the National Library of Canada.

Proposed revisions to international agreements would impose controls over data base distribution that could assure compensation for the record creation but, at the same time, limit the availability of these foreign records and thus reduce their use.

OCLC's recent action to copyright its data base is central to the question of data base ownership. The utility's proposed network contract and copyright claim together establish a new relationship between the networks and member libraries. OCLC's copyright asserts an ownership claim that gives OCLC stronger court-supported control over the subsequent use of the data base. The proposed network contract would allow the utility to lease tapes to the networks and require that libraries obtain permission for specific use of records. In view of the state library agencies that are both members and support other libraries' participation in the system, the shift in policy is taking place after public funds have been expended to create records with the understanding that the resultant data base would be available for state resource sharing.

The ownership question influences participation in cooperative projects. For example, open sharing through the Linked Systems Project could limit a utility's ability to control third party use. It is certainly true that with appropriate software, contracts could be made and upheld to compensate for record use. To date, however, the general feeling appears to be the cost and complexity of the software would outweigh the benefits.

5.a. Problem: There is little nationwide planning or coordination. Constantly, we have often suffered for the lack of an orderly approach to further development.

5.b. Discussion: The examples given below are not all alike. They are, however, problem areas which result from a lack of planning, or from a lack of understanding, and often from the desire to have all direction come from "the grass roots level"—the term "national" or "nationwide" tending to turn people off. It appears to me that many projects profit from nationwide planning combined with grass root support—it takes both to assure success. The Council on Library Resources has played a major role in stimulating and coordinating a nationwide approach to library research, planning, and development. But CLR can only encourage cooperation. It is up to the rest of us to do the cooperating.

A significant problem is the lack of nationwide planning for retrospective conversion. The RECON Pilot Project did demonstrate that the cost of converting and updating retrospective records was high. However, it appears obvious that the cost of duplicate conversion of the same titles, i.e., the aggregate cost to the nation as a whole, must still be higher. Today, since there was no nationally planned conversion effort, the private sector has provided us with REMARC but, because this is a private sector venture, access to that file is limited and costly. Without coordination, REMARC records may be updated by different institutions and consequently duplicates will exist for the same item. How much will all of this cost the American library community?

At one time all CONSER participants were inputting their serial records into OCLC. One data base was searched, and thus costly duplicate cataloging and conversion of the same title was eliminated. Several CONSER participants then joined the Research Libraries Group (RLG). Now they input their serial titles in the

Research Libraries Information Network (RLIN) and no longer have available the titles input by the OCLC system. The result is possible duplication of cataloging and conversion. One CONSER participant is keying its serial titles into both RLIN and OCLC. Efforts are underway for OCLC and RLIN to exchange CONSER records via magnetic tape, but, as we have learned over the years, the building of a national data base is most effective when that data base is available for searching and input online.

Planning is a continuous process and recent developments need to be exploited to keep the cooperative effort together in the new multi-utility environment. The Linked System Project could greatly aid in avoiding duplication in both CONSER and retrospective conversion because the user of one system would have available the records of another system. For example, if OCLC were implementing its link, its CONSER records could be transmitted to LC for online distribution to RLIN and the Washington Library Network (WLN). Likewise, it would be possible for RLIN and WLN CONSER records to be distributed online to OCLC. This linking facility is now being implemented between LC, RLIN, and WLN for authority records. The Linked Systems Projects permits the building of consistent files and makes the data universally available.

It seems to me that we are at a major crossroad in our efforts to build a comprehensive system of bibliographic control. Certainly, one very important component is the network configuration, the facility we use for communication, resource sharing, and research. And yet there is no clearly defined approach to future network development.

There is little doubt that during the last decade the massive bibliographic data bases housed by the bibliographic utilities and the products and services they provided was a major step forward in resource sharing. We would not be nearly as advanced as we are without the utilities. There is also ample evidence that this is not necessarily the most effective way to proceed.

Early on, some people recognized that certain library operations, e.g., serial check-in, acquisitions, circulation, would be more effectively performed locally. The huge costs of large hardware systems (and the associated software systems) and the economic conditions of the 1970s precluded much local development. However, the rapid expansion in the mini- and microcomputer fields with the significant decrease in costs of these devices compared to the larger systems is changing our direction. We are moving away from centralized systems offering both the data base and the products and services to a centralized system for data base building and maintenance and a decentralized system for products and services. The availability of the smaller turn-key systems should reduce the costs of maintaining both manual and automated operations at the local level—a very important consideration. All of the above is evident by a review of activities of the utilities today.

I submit we have a need to carefully consider what the changes in the network configuration will mean to us. For example, at the present time, LC distributes both new and corrected records to maintain the files of the MARC subscribers. If we build a system of regional or local nodes connected by communication links to the utilities, how will these data bases be maintained? Will all local systems, regardless of size, receive all changes made to all the records, or will the utilities be forced to maintain a profile of each customer's data base and only supply correction records for the records held by the individual node? Are the ARL

libraries giving thought to the fact that they presently are—and most likely will continue to be—members of different utilities or have stand-alone systems of their own? Will this have an impact on the building of comprehensive systems for bibliographic control?

What I have attempted to do today in this session is to raise your awareness of some of the problems we face together. Raising awareness does not solve the problems, but it does bring them out into the open where we can examine them. And after all—"if we have met the enemy and they are us"—we stand a chance—with Dave Bishop's help—of going forward.

THE BLUEPRINT:
A PLAN FOR ACTION

David Bishop
University of Georgia

MR. ROSENTHAL: I would now like to introduce David Bishop, who comes to us, again, with an authoritative background. I note that David is an upstanding member of the Rotary Club of Athens, Georgia. I do not know whether that means the Optimist Club as well, but he is the Director of Libraries at the University of Georgia.

MR. BISHOP: We have looked at some fundamentals and made some assumptions about distributed bibliographic control. We have examined the role of the Library of Congress in bibliographic control and we have considered some of the major problems that are facing us. I would like to describe some components of a plan of action to move us toward an ideal bibliographic control system, including some things that could be done by individual libraries, by utilities, by the Library of Congress, and by the ARL.

But, before looking at a plan of action, I would like to take a few minutes and describe my perception of this bibliographic control system. The focus will be a data base, which is a collection of bibliographic and quite possibly holdings records, comprising most of the holdings of the participants in the system. I say most because I suspect some local records will continue to exist and it will be some time before retrospective conversion is complete. This data base will also have associated authority or support files, ideally linked as an integral part of the data base itself. The access mechanism for this system will be at least sufficient to allow the efficient retrieval of a particular bibliographic record. It may not be possible to retrieve all of the works about economics or browse the complete work of William Shakespeare, but reliable retrieval a particular bibliographic item is an obvious minimal requirement.

There could be a number of configurations for a system of this type. It could be a single system, one large facility with the capacity to serve all of the users. This is highly unlikely. It could consist of a number of synchronized systems—five, ten, twenty, maybe more independent data bases functioning much as Lucia described in the Linked Systems Project. Another option would be a system consisting of a series of paths through multiple systems, paths based on regions, types of libraries, subjects, or languages, to name a few.

Initially, the system could be an enhanced version of the MARC distribution service with the Library of Congress and a small group of research librarians providing the nucleus of the data base. This nucleus enhanced by records contributed to the Library of Congress as is proposed for the NUC project, which Henriette discussed. The entries of these contributed records would be verified by the Library of Congress and the records then distributed through the MARC distribution service. This approach, although just a beginning, would probably be rather easy to achieve, at least technically. The important thing in terms of configurations is that there is a range of options and it is likely that, over time, we will see different configuration based on changing technologies.

Let us assume, then, a single bibliographic control system based on a single

logical data base. While this system would be used for many purposes, including bibliographic verification, resource sharing, and interlibrary borrowing, I would like to focus on three functions associated with the cataloging process. These functions are: searching--looking for cataloging copy; creating records--original cataloging; and maintenance--those activities designed to keep the data base consistent with itself.

There are two main advantages to using this type of system to search for cataloging copy. First, it would be possible to search all of the data base at once or in a known logical progression. Secondly, one would have confidence in the results, particularly of a negative search. At present, it is difficult for a searcher to know when he or she can actually stop searching.

The second function is creating records. When creating records the major advantage to this system are reduced cost and improved quality. The availability of current authority and bibliographic information would reduce the research necessary to establish headings, would assure that the adopted headings are in their most current form, and would result in generally more consistent cataloging.

The third cataloging function is maintenance and I would like to spend some time discussing this because I believe the lack of computer assisted maintenance systems is far and away the most serious problem we face in bibliographic control today. The problem with our present manual systems, is probably familiar to many of us. A person finds Library of Congress cataloging for a book and does the authority work prior to producing cards or as a result of filing in the public catalog. During this process, the person finds perfectly good LC records that are in conflict with the one in hand. The reason, obviously, is that at some point the Library of Congress changed the old heading but because no alerting system exists, the records in the local library catalog were never changed. The person who encounters this has three choices: ignore it and live with two forms of an entry, change the new form to the old and put off the problem, or go back and change all the records with the old form of entry. None of these options are attractive. For non-Library of Congress cataloging records that appear in utilities the situation is even worse because there is no mechanism for those records to be changed when LC records with the same headings are changed. This means that contributed records, found in utility a data base, may be incorrect even though they were correct when they initially entered the system.

The solution or a solution to the situations I have described is an automatic or computer-assisted maintenance system, and this feature is one of the most attractive aspects of an ideal bibliographic control system.

The automatic or computer-assisted maintenance system functions in the following manner. As access points change or as errors are found, a central agency, presumably the Library of Congress, would change all the affected records in both bibliographic and authority portions of the data base, and would transmit those changed records throughout the system, to the synchronized data bases, to the appropriate nodes, or wherever they needed to be sent. At the point in the transmission process where location symbols become part of the records, the changed records would be sent only to the institution requiring the changes. For example, when the record reaches the OCLC data base, OCLC can tell which libraries location symbols are attached to the record and can transmit the changes only to those that need them.

What is needed for effective, low cost maintenance is the capacity to attach a location symbol to a bibliographic record and obtain what could be called a maintenance contract. This system would allow a library to indicate that it has a book, that it has the record that goes with that book, and that it wants all subsequent versions of that record that are produced. This would apply to both member and Library of Congress cataloging.

The concern about maintenance is not just with bibliographic records. If our online catalogs are going to have cross-references, current name and subject authority records will be needed. Initial indications are that the problems of maintenance of authority records will be as great or worse than with bibliographic records.

Probably, maintenance is the least understood cost factor in technical services and represents an area where significant savings can be made. It seems certain that if we cannot significantly reduce the cost of adding materials to our collections, we will likely lack the resources needed for online catalogs, for providing access to portions of our collections that are presently inaccessible, and for providing other new services that are increasingly being identified as vital to our user communities. When considering the Readers' Guide to Periodical Literature and the amount of access that it provides to a portion of our collections with no maintenance at all, one sees the potential for the future. And, while it is unlikely that we can make our bibliographic data base that maintenance free, we can move significantly closer to the "Reader's Guide" model than we are today.

With a rather general description of a bibliographic control system as a basis, let me turn to a plan of action that would move us towards such a system. I would like to begin by describing some things that we individual libraries can do.

First, we can adopt the concept of the standard record and automatic maintenance. At the top management levels, this should be rather easy, but within our organizations it would be somewhat more difficult. Building support for this concept will require careful, sensitive presentations, particularly in cataloging and processing departments. There are many complex issues that will be raised, including: job security; what percent of the remaining activities are professional in nature; and questions of the validity of the past activities. This validity of past activities is a particularly difficult issue and it is important that people understand that what they have done for the last twenty years was not a waste of time, but rather that advances in technology provide options that did not exist in the past and we must now take advantage of those options.

The second thing we can do as individual libraries is to plan to develop the capacity to maintain our machine-readable records. With card catalogs, an automatic maintenance system would probably drown us in replacement cards. But, as we move toward online catalogs, the replacement records will be in machine-readable form only so the catalog card maintenance problem will go away. If we are to take advantage of the standard record and automatic maintenance, it is extremely important that we begin planning now for the maintenance of our machine-readable data bases. This can be done in a variety of ways. It may be a capacity that the utility will provide. This may be something that regional networks will do. Or, it may be a capacity built into local online catalog systems.

The third thing we can do is develop the capacity to catalog in our areas of primary collection strength. We cannot assume that the burden of cooperative

cataloging can be borne by a dozen of the largest libraries. We need to spread the cataloging load over a broader base and each of us must be prepared to make whatever cataloging contribution we can.

Fourth, we must be prepared to pay for the services that we receive. The automatic maintenance function, for example, can reduce our processing expenses considerably but there will be a cost for providing this service and we must be prepared to pay that cost.

Let me turn now to the utilities, and what they can do. The first and probably most important thing is for them to accept this cooperative approach and be willing to be part of the synchronized data base or a node in an overall system rather than a central node in an independent system. Secondly, the utilities, primarily OCLC, need to develop a strategy for ownership and fair use of data that will protect their economic viability but will still allow a national bibliographic control system to become a reality. Without relatively free sharing of records it will be very difficult for the type of system that is proposed to succeed. Finally, utilities need to develop the software that will allow these maintenance systems to become a reality. The utilities are at the heart of the maintenance function and they must have the capacity to accept, process, and transmit relevant replacement records, both bibliographic and authority.

What can the Library of Congress do? First, LC can articulate its commitment to providing the coordination function. If we are to build a system based on the cataloging of the Library of Congress there must be an assurance that the Library of Congress will accept the responsibility for coordination. Certainly, recent actions by LC have been extremely encouraging. Second, the Library of Congress needs to develop a mechanism that will allow it to receive compensation, possibly directly from libraries, for performing the coordination function.

It seems unlikely that the Library of Congress can assume this responsibility without additional funding from some source. There is a question as to whether it is realistic to assume that additional federal funding will be available to the Library of Congress to provide the cooperative function. If not, a system of direct payment by libraries for coordination may be the only answer. This is a complex issue and care must be taken that accepting funds from libraries does not jeopardize the overall funding level of the Library of Congress.

The third thing that the Library of Congress can do is to explore the feasibility of its becoming the focus of a system to allow major contributors of cataloging copy to receive compensation. Most library directors would be willing for their institutions to do their original cataloging but for many there is a limit to the contribution they can make because of the nature of the collections. There are some libraries that do a great deal of cataloging and have very special cataloging skills. Ways need to be found for libraries to be compensated for the original cataloging that they do that benefits others. It is possible that subcontracting by the Library of Congress would be a way to accomplish this.

What can ARL do? First, ARL can play an important role in bringing the different organizations involved in bibliographic control together and can serve as a focus for the resolution of many of the issues raised today.

Second, ARL can be an important factor in the development of an overall plan for bibliographic control. Some components of the bibliographic control system

presently exist in ARL's Five-Year Plan. The Council on Library Resources has done a great deal in this area with the Bibliographic Services Development Program, but ultimately a fully developed plan is needed and ARL clearly has a role in its development.

Third, ARL should become an advocate for funding the coordination function at the Library of Congress either through a system to allow payment by libraries or by working for increased general funding for LC.

Fourth, ARL needs to communicate the bibliographic control plan that is developed to the library community, particularly to non-ARL libraries. We cannot expect a bibliographic control system to succeed supported only by ARL libraries. Nor can we expect other libraries to support the system if they have not been informed and been involved from the beginning. It may well be that communication with the general library community about this plan is the most important thing that ARL can do.

My goal this morning has been to describe some general features of a bibliographic control system and to discuss some things that could be done to move us toward such a system. The time for developing a system of this type is right. It is because the concept of a standard record is increasingly being accepted, because economic pressures to reduce costs and to have funds available for expanded services such as online catalogs clearly exist, and because we are getting closer to the point that technology will exist to allow this system to become a reality. It seems clear that a national bibliographic control system will emerge one way or another. The concern is that if we do not take the initiative now, we will find a system that is the result of random developments and marketplace pressures, rather than an overall rational plan, and that would be unfortunate.

DISCUSSION

MR. ROSENTHAL: Thank you very much, David. The floor is open .

MR. GRATTIDGE (General Electric Foundation): I believe ARL has an opportunity to do one other thing, and that is to keep in touch with the technology developments, particularly software technology. I am thinking now of work going on in systems where, providing there is a rational basis for making a decision, the logic of that decision perhaps can be put into software. Many of the quality control questions could, in fact, become simplified if the logic is understood.

MS. AVRAM: Are you addressing modeling techniques?

MR. GRATTIDGE: In the area of diagnostics, ranging from diagnostics in medicine or in locomotives, one can compare a given symptom against the possible causes. I am suggesting that if records do not agree, there is a rational basis for going back and finding why they do not agree. This could be a machine process rather than a human process. And therefore, we would at least arrive at the questions of noncompatibility much more easily.

MR. ROSENTHAL: I believe that is probably part of what David discussed in terms of automated maintenance.

MR. BISHOP: Yes.

MR. BROWN: Henriette suggested I might want to comment on her comments from the standpoint of OCLC. A third of our board is here, I believe, so they can add or change anything I might have to say.

First, I would like to make one correction. Henriette referred to the fact that we have a proposal to our library networks that involves leasing of tapes. I would like to make it clear to everybody here, and I am trying to make it clear to as many people as I can, that last summer we withdrew that approach because we did not feel from the responses or reaction we received that libraries felt comfortable with that concept, even though it is used by other systems and data base. And it is not necessary to carry out what we are trying to do.

Reference was made to the Board resolution back in 1980 or thereabouts on a so-called ownership issue. The resolution read to the effect, as Henriette stated, that free use would be--or unlimited use could be--use of machine-readable data except for use by third party commercial entities, which, in effect, take OCLC data reuse it, and sell it in competition with OCLC. There are several problems with that resolution. First of all, it has not worked. A number of commercial entities have received data bases of significant size from OCLC member institutions who indeed do sell that data. Secondly, that resolution was based on not-for-profit institutions. I believe we all recognize today that there is a certain amount of blurring of lines between so-called for-profit and not-for-profit institutions in terms of the use and selling of services. Thus, the MARC issue is probably no longer clearly appropriate.

Henriette has stated very clearly and very effectively the fact that these issues are economic, and the resolution will come about on that basis, as she said; the technical issues are not the overriding ones. The one thing I believe you should be

aware of, though, is that it is not the economic viability issue, in my judgment, as much as the integrity of trying to create as large an international online holdings catalog as one can legitimately and economically and technically develop. And any means by which either migration away from the system or actions other systems that use the system but do not bring in the holdings or cataloging of other institutions diminishes the potential value of that data base, which now has about a 147 million holdings, and is increasingly being used by European institutions as well as here in the United States.

We have heard the concept of a copyrighted data base. The way our policies are currently being implemented, or adopted, is that any library can use the data base in any way it sees fit, other than to turn it over to a third party (the third party being, at the moment, a non-member). But at the same time, as we have pointed out, we are encouraging and want to see that data shared with other libraries that are not OCLC members, and, in fact, would facilitate that, so that, it then becomes the question of the diminishing of the holdings for the data base rather than its augmentation to other libraries.

I believe it is still not understood that what we are trying to do is to protect the data base for those of the general membership and the library community in general that have a tremendous faith in the future viability, integrity, and growth of the data base.

MR. ROSENTHAL: Does the panel wish to make any further comment?

MR. BISHOP: I would. Rowland, in terms of this concept of OCLC records being sent to the Library of Congress for the verification, establishing a consistent data base, and then distributing it to the MARC distribution service—it seems to me that this is the vital way we can begin to establish a type of overall quality control that is economically possible. How does this type of program fit in with OCLC's concern about its ownership? It obviously is that coming through the MARC distribution service throws records out into public domain. But, at the same time, it establishes that consistency and quality and makes the records available to other libraries. Could you just comment on that briefly?

MR. BROWN: Henriette touched on that a little bit in her talk. A public MARC distribution system is the equivalent of OCLC, and it may be that OCLC would eventually just work itself out of existence by providing a means by which cataloging is done on OCLC and then turned over to LC to be distributed to users who in the long-term no longer need OCLC. At some point, one engine disappears and you have a new engine. And to my knowledge no one has described the economics of the new engine.

There is a dilemma in terms of trying to get broader, and let us say, improved bibliographic control and distribution. One must also look at what has worked to date and, as the suggestion was made earlier, have an evolutionary process. Do not throw out the baby with the bath water. I believe this is a concern we need to deal with honestly as to how improved bibliographic control and distribution can best be achieved. I believe there are ways, but I am not sure I am smart enough to know the best way. But, we need a solution, and we need to deal with the existing systems that are already working—RLIN, OCLC, WLN, and so forth.

But, OCLC has a somewhat different problem than do the other systems in one regard, and that is the nature of our membership, the nature of the data base, and

from whom we need support in order to exist.

MR. BISHOP: But, realistically, do you not think the major value of OCLC and its major asset is as a communication system and its capability rather than its data base?

MR. BROWN: No. Let me tell you why. The telecommunication structure in the United States and in the world is going to be changing so rapidly that for any system that has invested the amount of money that these institutions here have invested in OCLC to be dependent upon a particular telecommunication structure is very, very thin ice. The major asset, by far, that you all have invested, in a sense, in OCLC—and I say that even with the RLG libraries because indirectly or directly they benefit from the OCLC base—is the uniqueness of that international holdings data base. And if that is eventually diminished without something else, equally viable, taking its place I would say that is much more important than any communication structure which can change and will probably change in the next couple of years. The technology of how it is done is going to change constantly. What needs to be kept, however, is some access that any library anyplace in the world could go to as a last resort for finding out where an item is available.

MR. GOVAN (University of North Carolina): In the absence of any other comment, I would like very much to point to the points David made about ARL's role in his plan of action. And I certainly hope that when the transcript of this meeting is published the membership takes those suggestions seriously and that we do whatever we can to help meet some of the challenges and problems. I agree with him that the Association has a central role to play and I hope we do not let this opportunity go unmet.

MS. MARTIN: (Johns Hopkins University): I certainly second Jim's comments. I would like to refer people to a Network Advisory Committee document about a nationwide bibliographic system which, I believe, was done three or four years ago—about the same time as the other one to which Henriette referred. In that document, the final recommendation was more of a system along the random and evolutionary lines. I am very, very conscious of the point that Henriette made of coming to a decision in a group, and then going home and changing our minds and creating a stir. So, perhaps a reflection on those documents that we have created in the past might be useful.

Kaye, you had something to do with that, too.

MS. GAPEN (University of Alabama): Yes, I recall that document. At the point at which we worked on that document and held hearings on it at an ALA meeting, as I recall, we felt that, given the state of technology, and given the state of development systems, that was the way a national network might evolve, if it went together in developing systems. And I tend to believe myself that that may still be the case. So the planning—if we call that planning or words to describe some effort—now would be to talk about what we are doing, so that we can think effectively. But, that was a basic document that we did have hearings on and we all tended to agree with it.

MR. ROSENTHAL: To what extent was there an economic analysis embedded in that document?

MS. GAPEN: There was not one. I believe the economics of the issue were

implicit in the discussion in which we all had our own money or we were participating in cooperative activities that we financed, and we did not believe that the economics of creating a large data base or national system or plan in that way was possible. The economics of supporting what we were doing would continue to evolve, and that is where the money would come from. It seemed pragmatic to build upon the basis we had established, which was the point that Henriette made today.

BUSINESS MEETING, SESSION I

[Session I of the Association of Research Libraries Business Meeting, attended by the ARL membership only, convened on Wednesday, October 19, 1983. Following an informal discussion of implementation of the ARL Plan of Action, the membership turned to consideration of the 1984 budget and proposed dues increase. Mr. Govan, on behalf of the ARL Board of Directors, moved that the membership approve a dues increase of \$1160.00 for 1984. The motion was passed with no dissenting votes.]

BUSINESS MEETING, SESSION II

[Mr. Govan began the meeting by announcing the election of Richard Talbot of the University of Massachusetts as Vice President/President-Elect for 1984.]

Report from the Office of Management Studies

MR. WEBSTER: Rather than give you a status report on the range of projects we are involved in, I am going to rely on the written report that is available to you. [The OMS Report appears as Appendix D]. Instead, what I would like to do today is to review our schedule of activities for 1984 to alert you to services and resources you can take advantage of or involve your staff in.

First is the training schedule for this next year. We have not yet replaced Maureen Sullivan as Training Specialist. Instead, we are trying to use OMS staff, former employees, and other individuals who have worked with us in the past to conduct these activities. We have a very ambitious schedule for 1984 and we believe we will be able to maintain that schedule while we recruit for the Training Specialist position.

We have planned a number of special focus workshops this year: a Planning and Communication Workshop, which will be conducted at the University of Pittsburgh Library, and a Supervisory Skills Workshop at the Johns Hopkins University Library. I note these because, again, we are prepared to design and operate special focus workshops in your institution on specific topics, either in program areas such as services, collection, and preservation, or on management topics such as the Planning and Communication Workshop.

Beyond those special focus workshops, we will offer a series of basic Management Skills Institutes in the next year. We will conduct both public institutes for which brochures have been distributed to your libraries indicating the availability and the schedules, and, we will also conduct several special MSIs, such as one in Eugene, Oregon, for which the University of Oregon Libraries is acting as a sponsor. In addition to the basic MSIs, we are offering this year three advanced Management Skills Institutes: one in Houston sponsored by a regional cooperative, one in San Diego, and another in the Washington area toward the end of the year. These are more intensive, longer institutes—five and a half days instead of three and

a half days—and they are oriented for senior managers in research libraries.

As you are aware, we have also been considering a management institute for ARL directors. Such an institute would focus on three broad themes: the role of the director in the university, strategic planning, and introducing and managing organizational change in research libraries. That thematic approach is predicated on our assumption that there is going to be active participation and discussion among the participants around those topics—e.g., it is not a traditional lecture-type educational opportunity. We surveyed you all, and 47 of you responded, indicating some interest or support of that notion. We scheduled that event to precede this Membership Meeting in Chapel Hill. We received only thirteen registrations, however, and because our minimal level for conducting the session is fifteen, we decided not to hold the event at this time. There is some question as to whether it was a schedule problem, a cost problem, the specific importance or value of the institute to directors, or whether the design and format might have been inappropriate. The OMS Advisory Committee is working with us to investigate these questions and to decide whether an institute for directors should be rescheduled.

So, we are interested in knowing how many people are still interested in this event. It would be three days, with a preliminary evening session. Would you prefer an institute scheduled in advance of the April Membership Meeting at the Broadmoor in Colorado Springs or an institute scheduled at some other time of year? We would also like any comments or reactions to the idea of a management institute for ARL directors that would be useful for the staff and the Advisory Committee in planning it. I sense that there is general support for such an event and it is a schedule problem rather than a format or design problem. If you disagree with me, please let me know.

A MEMBER: I would like to know how much duplication, if any, there would be between this and either the basic management skills or the advanced management skills institute. I do not want to take the desert survival test again!

(Laughter)

MR. WEBSTER: It will be a totally new design. The survival skill that we are talking about is not that test—it might be institutional survival instead. That particular exercise is used to illustrate group decision-making and group problem-solving skills. I do not see that topic as being part of this particular institute. Rather, the directors' institute will be oriented deliberately toward concerns, interests, and problems of the chief executive officers in research libraries.

We have had an ambitious schedule for the Systems and Procedures Exchange Center (SPEC) in 1983. Two topics that are coming up later this year are telecommunications and regional libraries. Our present schedule for kits and flyers in 1984 includes: collection security; users statistics; copyright policy in member libraries; use of microcomputers; the position of associate university librarian or associate director; how we manage, use, and operate non-bibliographic data bases; electronic mail; and archive management. I want to alert you to those topics in part to give you a sense of what we are going to be working on and also as a way of inviting your suggestions for additional topics that we ought to be covering in the future. Maxine Sitts, who is SPEC Coordinator, has a list of possible topics that will be considered later in 1984 and in 1985. If you want to influence that agenda, she would be happy to provide you with that form which we are using in working with

our Advisory Committee in order to get a sense of what topic you would like to see covered in the future.

Our principal effort in the area of self studies is being directed toward the operation of public services studies, under the sponsorship of the General Electric Foundation. There are six self studies currently in operation. The first three institutions that began earlier in the year have moved through the interim report phase and are now working on their final reports. The remaining three institutions started this fall. Patricia Swanson, who is the coordinator for that project has done a magnificent job not only in bringing those studies along, but also in preparing the study materials for that project and in coordinating the sponsored research projects in which seven grants were awarded to member libraries to conduct investigations on specific public service issues. And she has been quite active in working with us in planning for transition to the next steps in that program. Patricia, as you may be aware, is on leave from the University of Chicago to work on this project for a year. She is returning to the University of Chicago on November 1 as Assistant University Librarian for the science library. She will continue to work with us on completing these studies and on the preparation of public services study materials.

A number of studies in the Collection Analysis Project are currently under way, and we have several additional projects planned to start in the next year. This is clearly the most active self-study program, next to the Public Services Program.

Those are the items that are of principal concern for us in 1983-84. In addition, because the Academic Library Program will end in September, as funding from the Council on Library Resources and the Mellon Foundation for that program ends, we are exploring ways to fill the gap in OMS financial resources that the completion of this Project will cause. As you are probably aware, about 25% of the OMS budget is paid for by ARL membership dues and 50% of our budget is cost-recovery through the sale of services and publications. So, we must secure about a quarter of the budget through external financial support. We have several projects in various stages of design and under consideration by foundations. For example, we have made a proposal to the National Endowment for the Humanities to support a series of ten studies at member libraries in the preservation area. The decision on that proposal, I understand, is going to be made early in 1984. We have begun discussion with the Mellon Foundation concerning support for the design of technical services studies. We are discussing with both the Council on Library Resources and the ARL Committee on Library Education a proposal to conduct an institute for library educators on research library concerns. (That idea came out of the committee and we put it together in a tentative form as a proposal to the Council.) We have also put together, with help from libraries in Canada, a proposal to General Electric of Canada to conduct a series of self-studies in Canadian libraries that would parallel the current public services project. (As you might recall, the grant from General Electric Foundation has a restriction on allocation so those monies can go only to the U.S. libraries.) And finally, we are working with ARL Executive Office on a proposal to the Lilly Endowment concerning operation of Phase II of the National Collections Inventory Project, and I believe that will be reported on in the Executive Director's report.

These are our prospective projects. The OMS Advisory Committee and the Public Services Advisory Committee both met during this meeting and those groups have been of essential help to us in developing these ideas. I also want to alert all of you to what we are considering. We are interested in your reaction to these programs, your advice, and your help. Thank you.

Election of New Board Members

MR. GOVAN: I would now like to call on the Vice President/President-Elect, Eldred Smith, who is the chairman of the Nominating Committee, to present the nominations for election to the ARL Board of Directors.

MR. SMITH (University of Minnesota): Mr. President, the other members of the Nominating Committee are Le Moyne Anderson and Nancy Brown. We present the following names as nominees for election to the Board: Graham Hill of McMaster University, Herbert Johnson of Emory University, and David Laird of the University of Arizona.

MR. GOVAN: Are there other nominations from the floor? (No response.) Are you prepared for the vote? We will vote on the slate then. All in favor signify by saying "aye." (Members respond.) Opposed? (No response.) Let's congratulate our new board members: Mr. Hill, Mr. Laird, and Mr. Johnson.

Consideration of New Member Library

MR. GOVAN: The next business, as long as we are electing people, is the consideration of the University of Waterloo as a new member. The board presents this name to you for election to membership. Is there any discussion?

MR. ATKINSON (University of Illinois): Without any reflection on the quality of the University of Waterloo, I would like to ask you all to join me in voting no. This is not, as I said, a reflection on the University of Waterloo, but it is clear to me, at least after that great discussion of the new criteria that was, in fact, supposed to insure the continuation of a homogeneous body of shared concern and shared commitments, that the way the criteria works is that every time a new member comes in that spread becomes greater. So, I would like, by this vote, to assure that the Association rework those criteria and come back in the not too distant future with a new set of criteria that will insure continuation that shared commitment.

MR. GOVAN: Any further discussion?

A MEMBER: Is there a committee report?

MR. GOVAN: A committee report on the criteria?

A MEMBER: Is there a committee that examines the membership of new university libraries. I know our Membership Committee on Nonuniversity Libraries examines prospective nonuniversity libraries.

MR. GOVAN: In the case of university libraries it is all staff work. The criteria are fairly clear and if we want to address the point that Hugh has raised, I believe the approach is once again to examine the criteria, as he suggested.

MR. LUCKER (Massachusetts Institute of Technology): I thought I had left this far behind. Some of you recall that I chaired the committee that revised the

criteria for ARL membership, and I want to correct one thing Hugh said. The mathematics and actuality of the criteria do not have the effect of lowering the standards for future new members. Under the earlier criteria that was the actual effect, because we were using medians and it was inevitable that libraries coming in below the median were, in turn, lowering the median. With the present criteria, the incoming library must look like the top the 65th percentile. They are really coming in at a much higher level than libraries that came in under the old criteria.

Now, it is true they are not entering in the top ten, but they are not coming in the bottom ten, either. We knew when we passed these new criteria—I have forgotten how many years ago it was—that we never had the intention or the expectation that we would close up the membership. That was not the intent. The intent was to try to maintain a membership that looked as much like each other as possible.

I believe the number of libraries that have entered ARL since the new criteria is probably somewhat lower than before, but there certainly have been a number of new members. And I believe that the committee's report and the long discussion we had at one of our meetings made it clear that we knew at that time that, even under the new criteria, there were going to be new members. And I would have hoped that the membership of this organization would have realized it then, although a lot of people in this room were not there. I have no objection to having another look at the criteria. But it is my recollection, in all honesty, that that was both the intent and the practice.

MR. ATKINSON: I do not disagree with you that that was the intent. I am suggesting the way it works out does, in fact, keep shifting lower and it does move those percentiles. The experience we have had show that.

MR. GOVAN: Further discussion?

A MEMBER: Which one of them is right—does it or doesn't it?

MR. GOVAN: As in most questions, they both have some right.

MS. ECHELMAN: I believe Jay is correct in stating that the members who have been accepted for membership since the criteria were adopted have not come in the lowest quartile.

MR. De GENNARO (University of Pennsylvania): It seems to me that we do have these criteria and Waterloo qualifies under them and I believe we have an obligation this time around to vote to admit Waterloo, and simply live by the criteria. But, maybe Hugh has a point and we might want to look at the whole question of membership again.

MR. GOVAN: I was going to address that fact, also. I believe we have a moral obligation, in a sense, though we in no literal sense have an obligation, to admit Waterloo. And indeed, I was about to say that there is nothing to prevent our taking another look at those criteria, if indeed we believe that the number of new members is posing a problem. I believe we all sense that there is some dilution of our effectiveness as well as our collegiality, if you will, as the group grows larger. And somehow we need to work out a solution to that problem.

Is there any further discussion?

MR. WYATT (University of Rochester): We recognized, when we went through this process before, that there was a strong movement toward the degradation of the standards of the Association, and part of the charge to that committee was not so much to stop the degradation as to merely slow it down. I believe there is no way to stop it unless we simply decide that is what we are going to do and close the membership, and then we do not need a particular change in the criteria and the way they are applied. I do believe that the actual degradation of the criteria has been slowed down. We also have to face the fact, however, that it is not just the criteria but the ways they are applied, because there continues to be some degradation within the association membership of our purchasing abilities, too.

MR. GOVAN: I believe we are bound to recognize that there are two issues here, really. Quite aside from the degradation of standards, there is the question of pure, absolute numbers. I believe these are separate issues, and yet each has an effect about which we must be concerned.

MR. LUCKER: We do not have the ARL Index for this year yet, so it is hard to tell. But for the two preceding years there has been no real shift in the index by the addition of new members. When we did the study, we were able, using the statistics that the Association of College and Research Libraries (ACRL) has collected, to collect data on potential members of ARL. When we did the review of the criteria, we estimated that there were, at that time, as many as six or seven institutions that might qualify for ARL membership based on the data, not including the number of Ph.D. programs (we did not know what those numbers were). Of those institutions, Georgia Tech and North Carolina State have already been admitted to the ARL membership; Waterloo was also on that list. Four of the libraries that were on that list have not applied for membership, perhaps because of the Ph.D. program requirement.

Now, to the best of my knowledge that number of libraries has not changed very much. In other words, we believe that that seven—which is now five, and, if Waterloo is admitted, four—that that four is probably still about the right number. So, the ARL membership might over the years grow by another half dozen. But unless there is some tremendous increase in support for university libraries, that body of libraries out there has not changed very much. And remember that one of the strong inhibitions of membership is not the statistics, but the number Ph.D. programs. The number is now about 26. And that in itself may be the thing that will limit ARL membership for a much longer time than any other number, given what we all know it costs to start a new Ph.D. program. But, again, just to set the record straight, we did point this out three or four years ago that we did have that number and my vague knowledge is that number has not changed very much.

MR. GOVAN: Further discussion? Are we ready to vote?

All of those in favor of admitting the University of Waterloo Library to membership please say aye. (Members respond.) Opposed? (Members respond.) Without being accused of a second Sam Rayburn, I think that was favorable, would you nays agree? (Members assent.)

Report from the Council on Library Resources

MR. GOVAN: The next item of business is the report from the Council on

Library Resources, which Jim Haas will moderate.

MR. HAAS: The Council on Library Resources has two and a half Program Officers; they are all in front of you. Lee is one, Deanna is two, and those who know me well recognize the half.

We are not going to provide a comprehensive report. Our annual report for the fiscal year just ended will come out in another month or so (the "or so" being four or five more months). I know you read these annual reports with great passion and wait breathlessly for them. At least look at the introduction this time, because we talk about the profession of librarianship and professional education. And I believe it will tell you where we are heading on that topic.

What we plan to do today is to ask Lee to give you a brief overview of the Bibliographic Services Development Program (BSDP). Deanna will then talk about one of our new ventures, the delivery of information. I will talk about two subjects—first, a meeting held ten days ago at Wye, and second, a new program we are about to embark on (provided we can get sufficient interest and our Board agrees).

Lee, why don't you go ahead?

MR. JONES: I hope all of you had an opportunity to pick up a copy of the report I prepared in advance. It provides a more thorough examination of what the BSDP has been up to over the last six months. This afternoon I would like to touch on some new developments since the last time I had the opportunity to talk with you. I will be selective and not touch on all of them—only those that seem to have major import.

The first is a contract to the Association of American Publishers in the amount of \$50,000 to help them develop coding standards for manuscripts in electronic form. Aspen Systems is the contractor for that effort. Why would we be interested in providing risk capital for the publishing community? It is one way to buy in, if you will, on behalf of the library and university computing communities, to a project of great significance. There is a project management team on which Robert Hayes of the UCLA School of Library and Information Science sits and which I monitor. Both of us are very interested in seeing that the interests of libraries and university computing are, indeed, represented.

There is a National Library of Medicine task force that has been named, including representatives from the Library of Congress and National Agricultural Library. Its mission is to define that part of the coding scheme that would be appropriate for libraries and their users. Their work will be completed with the year. There will be an open forum during ALA Midwinter to review the project and progress to date. This may be the only time, prior to the completion of this work, that the library community will have an opportunity to review the work of the task force. Many of you in this room, however, belong to institutions that are participating in a continual review of project documents. They are called "stake holders", a term I abhor. That group, numbering 36 or more, involves the publishing community, the author community, academic computing and libraries, and will review every stage of the project until it is completed.

A quick note about retrospective conversion and the assessment of what is going on in that area. We have two consultants at work trying to assess what level

of recon activity is presently taking place in the U.S., what strategies are being pursued, and they will attempt to assess whether or not it is, indeed, too late for any national plan or suggested strategy for retrospective conversion. Henriette alluded to that activity during the program, and I think she believes it is, indeed, too late; we will see. The report should be completed by the end of the year and copies ought to be available for you the next time you meet.

A good deal was said during the program about the Linked Systems Project and I will not dwell on that except to suggest the present timetable for that project. We have come to a point where I believe we are at a watershed. Pretty soon a number of actual hard tests are going to take place and we are going to find out whether all this effort has indeed been worth it and whether the structure will really perform. The telecommunication links themselves will have been completely tested, we believe, by the end of December 1983. Early in 1984 we will begin to test the exchange of authority records between the Library of Congress, the Research Libraries Group, and the Washington Library Network. WLN will probably lag a little bit behind, simply because they have had difficulty recruiting sufficient staff to Olympia. We have funded the LSP participants to take a look at other activities that will take place over the link. In other words, to define the next applications that we expect to see over the link. OCLC is observing in both the authorities implementation part of the project and in the exploration of additional uses of the link.

I have several brief comments I want to make in the area of online catalogs. As you know, the CLR studies have been completed and the data analyzed at a relatively complete level. However, we have funded a project to look at that data in great detail. Joseph Matthews and the University of California, Division of Library Automation are doing the work and their report will be completed by the end of December.

In the area of subject access; it continues to be a mystifying element. Everybody says we need to do something about it but apparently nobody is quite sure what. We have said over and over again that we would be delighted to entertain proposals in the area to examine enhancing subject access in online catalogs, and we continue to be disappointed with what comes in the daily mail. We are, however, evaluating one project right now that would test the use of the Dewey Decimal Classification scheme as an enhancement for subject access in online catalogs.

Training users of online catalogs: I spoke with you last time and reported on a session that had been held in San Antonio following the 1983 ALA Midwinter Meeting. The proceedings of that particular session are now available and for a prepaid price of \$10.00 you can get a copy. Northwestern University has been funded to develop a set of strategies for training users of online catalogs and a way to evaluate the impact of those strategies using user performance as revealed in transaction logs. Washington University and the University of Wisconsin are participating in that effort.

I spoke to you the last time we talked about our meeting at Wye, Maryland on the costs and characteristics of online catalogs. The proceedings of that session are now available. Again, prepay \$10.00 and you get the proceedings. It does include summaries of all the final reports of the CLR online catalog studies.

You will recall that as a discussion document for that Wye meeting a paper called, "Costs and Features of Online Catalogs" was prepared. There was a good

deal of discussion of that document; it came under heavy fire. Joseph Matthews and Gary Lawrence of the University of California, along with Charles Miller of Florida State University have revised that document. It has been submitted and will be published in the December issue of Information Technology and Libraries. Reprints will be available from the authors and from CLR.

As an outgrowth of that Wye session in which we had system designers and library directors meeting together to discuss costs and features of online catalogs, we scheduled another meeting. System designers came away from that meeting saying that they have an awful lot in common to talk about and no environment in which to do so. Following the Library Information Technology Association (LITA) meeting in Baltimore, we provided that opportunity for 35 system designers of online catalogs from the academic and commercial community. It was an extremely stimulating and draining experience; and packed with very frank discussions. We believe there will be a good many joint projects flowing out of that session. The participants are already seeking an opportunity to repeat it. Brian Aveney is doing the proceedings of that session and we hope they will be available sometime in January 1984.

The BSDP has been thrashing around the waters of bibliographic control and service for five years and we have expended a good bit of money. In December, at the Linda Hall Library, we are gathering a group of library administrators, computing center directors, network directors, library school faculty, and BSDP program committee members to take a look at what we have been through over the course of the last five years, and to spend two and a half days to plot the course for the next couple of years. I hope to be able to report the results of that session the next time we meet.

If there are any questions I will be happy to answer them now or later.

A MEMBER: Who is doing the retrospective conversion studies?

MR. JONES: Jutta Reed-Scott and Dorothy Gregor, a coast-to-coast cooperative venture.

MS. MARCUM: At the last ARL meeting we were just launching our information delivery services program and I reported to you then that we had appointed a task force to identify some of the alternatives for proceeding in that area. The task force was very helpful to me in identifying those areas we should pursue first.

I mentioned to you then that we were commissioning a study of document delivery activities in this country. Richard Boss and Judy McQueen were the consultants for the first part of that study as it was recommended to us by the Network Advisory Committee's "Statement of Work." The first report is now completed in preliminary form. Several people have reviewed the consultants' conclusions, and we are sending that final report to NAC next week. We asked the consultants to assemble a "snapshot" of the nation's current document delivery activities. What types of technologies are being used? If it is warranted, we also wanted to know what kind of methodology should be used to do a complete, comprehensive study of document delivery. The conclusion of that study is that it is not warranted to go on with a much more indepth study of document delivery.

So, I will tell you what we are planning to do—what we are considering, at least,

over the next several months.

One of the things we became aware of as a result of the study is that we know very little about what the users think about the document delivery services that are now in place. We are going to try a variety of approaches to learn much more than we now know about users, their needs, the services they are using, and where commercial document delivery services fit their needs.

The second area is finding out more than we know now about commercial document delivery services, and the Council intends to commission a paper on that topic. We hope to ask someone from that sector to write the paper, outlining trends, services, and the kinds of libraries that are now being served. We expect that the same paper or another one will take a look at some of the implications of commercial services for libraries.

Third, we intend to devote at least some portion of our cooperative research grants in the next cycle to a consideration of interlibrary loan and performance improvement in interlibrary loans. We will be sending guidelines for that next round in April. The October grant applications have just come in, and, as you know, those grants have, to date, been unfocused; you have had a choice of topics. We are going to suggest that in the next cycle some attention be paid to improving the organizational structure of interlibrary loan departments, perhaps, or other aspects of service improvement.

Finally, I should mention that we are moving ahead as the task force recommended on looking at various ways to support technological experiments that improve document delivery. We hope to work on both telefacsimile and optical digital disc research and demonstration projects. I hope that any of you who are involved in telefacsimile will let me know. We would like to bring together a group of people who are now using telefacsimile equipment. Some of you have mentioned your projects to me. If you have not, I would like to know about them.

MR. HAAS: Rather than give you a snapshot of some of the other activities going on, of which there are a great many, I want to concentrate, in a fairly brief period of time here, on two specific topics.

Many of you remember, and some of you took part in, the conference at Wingspread in early December 1982. That meeting concerned a fairly wide ranging set of topics pertinent to the library world. What was important about the session is that it brought together a good mix of people concerned with all aspects and facets of scholarly communication: university officers, provosts, representatives of scholarly societies, librarians, foundation officers. One of the specific recommendations was that the process should continue, that is, this process of bringing together this mix of people to continue to talk in detail on half dozen or so topics that had been identified at Wingspread.

Last week, from Monday through Wednesday morning, about 30 individuals joined us at Wye. (We use the term "Wye" a little glibly. Those of you west of the Potomac River might not know it—a very nice piece of property on the Wye River owned by the Aspen Institute, which runs it as conference center. It is both reasonably accessible to Washington and a first rate place for no more than two days or so of splendid isolation.) We brought together this time probably the best mix, I believe, and the best single group of people we have ever had from the scholarly publishing world, five foundation officers, five or six university presidents and chief

academic officers, four or five leading scholars, all of whom at one time or another had either chaired or were presently chairing a library committee and all of whom were identified by librarian participants. We had from UCLA the assistant dean of the School of Medicine who was the head of the university-wide library committee. Harold Billings' choice was Louis Gould, historian from Texas, again, with good library experience. Roger Bagnell, a classicist from Columbia has been directly and indirectly involved in the libraries there for years. David Crawford, a professor of musicology from Michigan, completed that group. Five foundation officers, including the deputy chairman for the National Endowment for the Humanities, also took part. ARL's Shirley Echelamn was also with us at Wye.

The focus of the meeting was the national aspects of collecting and preservation. And just so you know how it worked, we asked three people to open the session, one speaking for the university administrators (Sheldon Hackney, the President of the University of Pennsylvania), one speaking for the scholarly world, (Lou Gould from Texas), and one from the scholarly presses (Herbert Bailey, head of Princeton University Press). Each talked about their expectations for the future in terms of their relations with libraries. And it was a first rate way to set a backdrop for the discussion that followed.

The next day Pat Battin of Columbia opened the discussion by talking about the problems that need to be addressed over the long-term regarding the national aspects of collecting. Rudy Rogers of Yale did the same thing relative to preservation. That night Bill Ward, President of the American Council on Learning Societies (ACLS) and Herb Morton, who has done a number of publishing ventures including co-authoring the report, The National Inquiry on Scholarly Communication, talked about a new office of scholarly communication it is hoped will be established at ACLS. That mix of informal preliminary discussions triggered an intense, thoughtful, and very constructive discussion that permeated the entire meeting. And, like all such events, one can do all of the planning, order the buses, pick the menu, and provide some background papers, but the end result is dictated by the people who are there. And those who are in this room and the others who are not, did themselves proud. The response I have had from participants has been one of universal pleasure at the results.

I would underscore that these are forums, and forums by definition are settings or events where individuals say what is on their mind, knowing that they will be heard by others who perhaps have not heard those points of view before. We intend to continue with the idea of forums (this was Forum II, Wingspread being Forum I). There will be Forums III, IV, and V. At some point, I suspect we will get tired of picking menus and ordering vans, but as long as the sessions are productive, we are going to persist. What the forums really do is to force the scholarly world to think about library problems and the library world to see their problems from the scholar's eyes. Even university officers have their eyes opened a bit and simultaneously open, in terms of fiscal realities, the eyes of the other parties. The scholarly publishers having talked things through, feel less concerned and more supportive. It never hurts to have the foundation world fully informed.

I will skip a summary of the discussion itself and simply note that the remarkable result was that the participants were speaking intensely, thoughtfully, and constructively about the real issues related to turning the libraries into an interdependent body. This was also the theme at Wingspread, where Bill Ward, then ACLS's new president, and one of the opening speakers said was that what we are really concerned about is not library A, B, or C—rather, we are concerned about

"The Library," "The Library" being the aggregation of the country's research libraries. It is critical for us to view, easy and proper as it is to focus on immediate institutional concerns, the well-being of all library service in this country. The well-being of scholarship and research is a function of the health of the library, and because "The Library" is changing rapidly, careful attention is important.

In a sense, what we were doing is talking about the needs and requirements and future of the library, especially as they relate to collection development and preservation. Despite the structured randomness of the discussion, the end result was great cohesion among the people there about a fairly long list of things that needed attention and action. And what I am going to do right now is simply go through these without going into much detail, so that you know what was considered. We intend to publish, very quickly, the summary of the Wingspread meeting last December with the list of participants, and the background paper that was prepared for Wye with a summary of the Wye discussions, again, with a list of participants and agenda. We will make the publication available as rapidly as we can to librarians, scholars, and the university community generally.

First, there was strong support for ACLS to go ahead with its plan to establish an office of scholarly communication. What is it? Briefly, a new ACLS component with the specific mission of representing scholarship, broadly defined, in efforts now under way to shape the future system of scholarly communication. If I could pick out one of the five or six things that are listed for the agenda of that office, is that it will, for the first time, give the scholarly world a cohesive and forceful voice in the set of discussions that are going now under way concerning the whole set of topics related to the application of technology to information systems and the future of electronic publishing. All of those activities affect scholarship, but the scholarly world speaks with a diffused set of voices rather than a cohesive voice. This office, I believe, will bring some focus so that the scholarly world can participate more effectively than it has in the discussions, in which you are fortunately already able to participate, because of an organization like this.

Second, we made much progress on the general subject of preservation, specifically the preservation of the millions of volumes of books now physically falling apart. This is what the discussion will be concentrated on. We have agreed that the Council will help draft a national plan for preservation of this category of material for review, refinement, and modification by ARL, by the scholarly community, by scholarly publishers. And in that draft, which I believe will be a fairly brief document, we are going to talk specifically about the organizational and operational setting and methods, and about a financial plan designed to address the problem. The group pulled the number five million volumes out of the air—we may be talking two or we may be talking ten. A financial plan will be awesome in its size, but I hope realistic in its approach through a five to ten year period.

We will talk briefly about the technical approach, although I am not going to spend much time on the technical aspects, since I believe we must go with the best technology at any point in time and shift the technology when improvements are available. We will consider prospects for establishing a few regional centers around the country to assure maximum productivity at minimum cost and uniform high standards of performance. And most important, we are going to suggest a way in which the scholarly community and the library community can work together to establish the basic principles that should underlie preservation activity in this arena. We will seek to enlist a number of the scholarly disciplines in getting down to details about priorities for material pertinent to their own discipline. Clearly,

this will be a selective program; we will be naive if we seek to preserve everything.

We have asked the Association of American Universities to dedicate a portion of its spring meeting to the matter of libraries. It is time this group of people paid serious attention to some of the fundamental issues related to publishing, libraries—including economic aspects and the structure of universities as it relates to libraries—computing, and a number of the other activities that, taken together, reflect the university's machinery to assure that information is accessible to its scholars on the one hand and the product of its scholarship is, in fact, accessible to society.

There was a superb, thoughtful, wide ranging discussion of the Center for Research Libraries simply because the Center for Research Libraries is one of our assets. Although it is hard to summarize the discussion because a wide range of individual opinions were expressed, the bottom line is that the Center is, in fact, an important element in the library of this structure of this country. It is imperative that ways be found to make certain the Center is linked closely and effectively to the large number of other activities that are going on related to national aspects of collecting and preservation, and a way must be found to make certain that the Center's future is not jeopardized for financial reasons. I have a hard time with CRL and CLR where transposition of the initials happens all the time, so I tell people I tend to focus on initial reaction when these two topics come up. And that is, I believe, where I had better stop because my reaction is it was a thoughtful, constructive discussion, and I hope that the people who were there, who have ties to all the organizations, will help carry that discussion forward.

The Online Conspectus that ARL is working on now in conjunction with RLG and with a number of other libraries was judged to be of great importance. One specific point, other than maintaining the timetable that has been set, is to begin to think now about ways of putting that new tool to use—not only for libraries but for the scholarly community itself.

Another point concerned ways to do away with excessive dependence on the quantitative method of judging quality. The future will focus on capabilities for service, and the real question for ARL, because that is where it has to happen, is how can we begin to judge the performance of libraries in ways other than "weighing them" every year.

We are also going to form a committee on compensation. There are two very separate issues that are not as separate as they seem. In a world where interdependence is a fact, there will be more and more migration of people to books and migration of materials to people. What will be the machinery for compensation? And when you go to the copyright issue and contractual relationships, we come to compensation again under a different guideline. The Council is probably going to—and Deanna is going to have to take the lead on this—put together a committee on compensation. That committee will include scholars, librarians, and publishers, so that we can begin to capitalize on some of the very interesting work that has been going on both at LC and the National Library of Medicine, and move the discussion in a non-adversarial way to finding ways of solving the problems in this arena that are going to be with us until we find those solutions.

Another item: the library in the year 2000. Someone, somehow, is going to have to sit down and describe that library. An operations research professor once

talked to me about the idealization process, where one visualizes what is really the ideal goal. You know full well you are never going to get there, but the method at least helps you go that way instead of in some other direction. And that is, in a sense, what we need to do right now. We need to specify, almost define, the library of the year 2000.

Finally, and this is both too fast and too long, there are a number of research and researchable topics that were identified. As you know, Martin Cummings, who retired a few days ago as director of the National Library of Medicine, is joining the Council staff as a consultant and will supervise an economic seminar for us. We are going to make a number of studies to bring together people concerned with all aspects of costs and funding of not only libraries but information services and systems broadly defined. There are a number of topics that are clearly going to fall into that hopper, including modeling alternate approaches to meeting user needs and the articulation of economic incentives through cooperative undertaking.

There are many other topics, too. Organizational studies—what are the characteristics of organizations that are most effective in cooperative enterprises? What is the relationship between academic distinction on the one hand and library resources and library expenditures on the other? Topics like that should be a lot of fun.

In the next three minutes, I am going to talk about a completely different topic; I am finished with Wye. We, as you know, are and continue to be intensely interested in the profession of librarianship, in the process of professional education at all levels. We funded a number of projects. They all seem to be sound but we do not believe we have yet found the right way to make fundamental change.

We are about to create a program that is in essence an invitation to universities, library schools, and research libraries to help strengthen education for careers in academic and research librarianship. We will be writing to the presidents and chief academic officers of the fifty AAU institutions, to every library that is a member of ARL, and to all of the library schools, or at least those with doctoral programs, and inviting participation in one or another of two programs.

First, we want to start a new research venture aimed at learning more than we now know about the profession itself. Second, we want to tap the resources of universities as well as libraries and library schools to think about new and possibly exciting ways to add to our capacity to train research librarians for the jobs that are going to be available in the year 2000. In a sense, I am not too far away from the introduction of the Council's annual report, which I mentioned earlier. We will probably make ten or fifteen very small grants to institutions who say they really want to take a hard look at one approach or another towards improving professional education. These planning grants will be \$5,000. But, the proposals that come out of that process may become competitors for four to six grants in the \$25,000-\$75,000 range, to actually bring into being the planned programs.

We will probably also make a set of research grants, depending again on the availability of funds and the quality of the proposals, for research on specific topics. Here I am talking in terms of \$10,000 to \$25,000. And let me very quickly give examples of topics. The demographics of academic and research librarians, for example. What brings individuals to the profession? What keeps them in it? What factors determine professional progress? What are the characteristics of the most successful individuals? What is likely to be the composition of library staffs in the

year 200 in terms of education, experience, and skills? How does the reward system affect recruiting and education? Is the public's perception of rewards accurate? What are the characteristics of existing library schools, the faculty, the characteristics in terms of specialization of the faculty? Does the curriculum reflect future needs of the profession? What is the scope and quality of current research?

Let us also consider the possible projects that might come out of the program to enhance professional education at any level. Let me give you three or four examples. What changes in professional education are required to meet projected needs? Here we are talking in terms of recruiting and of course content. Is there any possibility that one institution might produce a special program for individuals in a doctoral program in a subject discipline and create a minor field for those individuals in library service and information systems? It is not inconceivable to me that one institution might serve a group of institutions. For example, a number of universities in the Ivy League now allow doctoral students to take courses in the other schools without any real constraints in support of their own doctoral program. Is there a special professional educational program that may be developed for subject specialists in other areas? For example, a series of two or three courses on public policy issues affecting access to information, the economics of information, and so on.

How institutions will respond to this and the approaches they might take, we cannot predict. We hope that some would consider joint ventures among two or more institutions. We hope that some might take a look at the existing teaching technology (videodisc, etc.), especially in the context of continuing education. We hope that some might explore the possibility of long-term part-time programs for both basic professional education and certainly for advanced education. We have no idea what will come out of this, but we will continue to probe and seek ways for the university world and the profession to prepare itself for an exciting future.

I will end with this, except to note that one of the people at Wye, not a librarian, but a distinguished man with many years of experience, told me that if he could change his career and if he was twenty years younger, he would get into what we are doing here—what you all are doing—because he saw the profession of research librarianship and the aspiration of the profession as being probably the most exciting side of higher education today.

MR. GOVAN: Thank you Jim, Deanna, and Lee for that informative report. It is only appropriate that we express some appreciation for what the Council is doing not only to solve the problems of research libraries, or attempt to do so, but also to make the outer world beyond research libraries aware of them. We are very much in your debt.

Report of the ARL Executive Director

MR. GOVAN: The next item of business is the Executive Director's report.

MS. ECHELMAN: I am going to be very brief this afternoon. As has been announced a couple of times already, I have a rather full and complete written activities and status report on the work of the Association, focusing especially on the last six months. If you do not already have it, there are still copies out at the

door. [The Executive Director's Report is printed in Appendix B.] I would like to just mention five or six items quickly and then ask if you have any questions.

First is the ARL Microform Project. We are now operating, with funds from the Andrew W. Mellon Foundation, a clearinghouse of information on the cataloging of microform sets. Information about this clearinghouse was sent out to all of your libraries approximately one or two months ago. There is no reason any longer why any library should begin to catalog a microform set without first contacting the clearinghouse to find out whether the work has already been done, is now being done, whether tapes or cards are available for that set, or whether a cooperative project might be possible.

Jeffrey Heynen, who has been coordinating the Microform Project continues to work on that project and is operating the clearinghouse for us. He is an ARL employee but not operating out of our office. His phone number, (202) 544-0291, has been listed at least once and probably more times in the ARL Newsletter. If you do not have it, or your catalogers cannot find it, call the office and we will tell you how to contact Jeffrey. This is a definite improvement in the reduction of duplication of effort in technical processing of microform sets, and I urge you all to take advantage of it.

In the area of telecommunications, you will remember from our last report to you that we were urged by the Board and by you, after the Membership Meeting in October 1982, to do something to bring research librarians up to snuff on policy issues in telecommunications and how we should respond to them. Working with the American Library Association, we have sent out a number of letters to other library and higher education organizations asking if they would be interested in forming a telecommunications policy and information coalition. We have had a number of positive responses and with Board approval, we hope to have that coalition in place and to hire a consultant to give us some advice, set direction, and do some definitions for us within the next few months.

An example of how badly such a thing is needed: the American Telephone and Telegraph Corporation has recently filed a new rate schedule with the Federal Communications Commission. Their filing totaled approximately 184,000 pages. Embedded in those 184,000 pages were some proposed rates which would result in increases in cost for data transmission by libraries of at least 60% and in some cases more than a 120%. So, this is an issue, as Hugh Atkinson so aptly told us when he raised it a couple of meetings ago, that needs to be addressed and addressed quickly and expertly.

There is a brief summary in my written report and there was a brief article in the August issue of the ARL Newsletter, about a group of documents called Uncontrolled Classified Nuclear Information documents. I learned today that the National Commission on Libraries and Information Science is in the process of setting up a small meeting, either in November or December, with the person at the Department of Energy who is in charge of revision of those proposed regulations. I have asked Jay Lucker if he would represent the research libraries and their concerns at that meeting and he has agreed to do so.

I want to take this opportunity to thank the four library directors who took the time to comment to me very thoughtfully about the report that came out last spring about future management and programs at the National Archives and Records Service and also to commend Herbert Finch, who is not a library director but who is

our representative to the Society of American Archivists. I had five very thoughtful sets of comments from all of you and we were able to compile them into what I think is a useful letter for the General Services Administrator.

Progress on the National Collections Inventory Project proceeds apace. The Board has reviewed some points which were drafted for their consideration and the staff will now proceed to have further discussions with the Research Libraries Group (RLG) staff and to try to put together the first draft of the legal agreement between ARL and RLG for the input of Conspectus data by non-RLG and ARL member libraries.

The last item I would like to mention to you is that ARL is about to lose one of its senior staff members. Carol Mandel will leave us on December 1 to go work for Penny Abell at the University of California at San Diego. Carol will continue, however, as Project Director for the ARL Microform Project and the CONSER A&I Project, and as a consultant for several other ARL programs.

The only thing I would like to say at this time is when the ARL Board hired me, I believe that neither they nor I had any idea what a risky venture we were all embarking upon. And one of the risks that I think we all thought we were embarking upon but did not realize the depth and breadth of was the risk of educating a post-40 year old person in the intricacies of the research library world in a short time and in a very effective way. And I would like to take this opportunity to thank not only Carol, but especially Carol and also the rest of the senior professional staff at ARL for the very, very effective, beneficial, and friendly way in which they have embarked upon that education. I have a long way to go, but I am a lot farther than I would have been if Carol and the rest of the staff had not been there. I believe it is appropriate to thank them and to wish Carol luck at UCSD.

ARL President's Report

MR. GOVAN: This is the President's Report, in case you are wondering, and it is going to sound somewhat like an Oscar program, I am afraid, because really much of what I have to say is expressing thanks to various people.

I want particularly, before any time elapses further, to express my appreciation to Eldred and to Joe Rosenthal as well as to the participants, for what I thought was an excellent program. I thought this morning's program was one of our better.

You always hear the president at this point thank the staff but I, again, as I said, at Banff, it is not an empty exercise. It is a very able group of people who work extremely hard for our benefit and I want to thank Shirley, Carol, Duane, Nicola, Alex and the whole group there. I can tell you from a year's fairly close association, that they are the people who make this organization survive--and I am now wondering how we are going to survive with Carol on the west coast. Carol, don't let any of those storms wash you into the sea!

I want to thank the Executive Committee who have been a great help to me, Eldred Smith and Penny Abell. It has been an unusual year with the ARL Plan, and we have had a lot of thoughtful work to do. Their experience and their perspective has been invaluable. And I believe, the plan aside, it has been a very good year, a year of achievement and advancement. We have had two excellent programs and we

have made progress on the collections inventory, on the ARL Microform Project and the bibliographic control of microforms, on the development of a performance measurement manual, on the CONSER A&I Project for which, incidentally, we are indebted to the Council on Library Resources, the National Endowment for the Humanities and the Wilson Foundation for grants. We formed some very useful coalitions on the humanities issues and on the telecommunications issue, as Shirley has just reported. And we have had, I believe, a very useful year again, thanks to the General Electric Foundation on the Public Services Program.

We have done generally better on grants this year than we have at any time in recent years, and I guess it is safe to say in our history, and that is a very gratifying landmark to notice. We have moved forward and now with the plan, we have a clear agenda and a direction. As we said about this time last year, I hope that we will now change the character of the organization and make the impact of this very important body of people and their institutions felt in the national library world.

It has been a year of transition and we are still going through that transition. There will be some more transition in the upcoming year, but I believe we are on the right course and the main thing now is to get on with the job. It has been a privilege serving you, and I guess that is all I have to say.

Is there any other business?

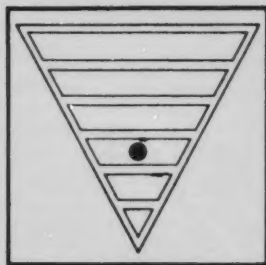
Change of Officers

MR. GOVAN: Well, then, in what will undoubtedly become known as the most constructive act of my presidency, I turn the gavel over to Eldred Smith.

MR. SMITH: It is my honor and privilege to be able to say a few words about Jim and his presidency. And I am not going to say very much, because I truly believe that the record speaks for itself. Jim has guided us very effectively through one of the most complicated and, I believe, pivotal years in our history. He has concluded that year by graciously hosting a very fine conference and into the bargain he has displayed for us a very elegant new library. He has done it all with considerable skill and as we saw earlier today, a great deal of grace under pressure.

Jim, your talents are as many and varied as the repertoire of the Red Clay Ramblers and it has been at least as great a pleasure to work with you as it was to listen to them last night. I know everyone will join with me in expressing our great pleasure at your presidency.

My only other act is to declare the meeting adjourned.



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Articles, Features, and Book Reviews
for the Academic Library Professional

Authority Control and Its Place

by Henriette D. Avram

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The Journal of Academic Librarianship

Authority Control and Its Place

by Henriette D. Avram

This paper discusses how authority control is used and relates the need for authority control to various components in the present U.S. library environment.

During several meetings of the BSDP program committee over the past few years, a major topic of debate has been whether authority control is needed in automated systems in general, and in the library networking environment in particular, and, if needed, at what component(s) of the network.

This paper addresses only those organizations of the evolving networks that have been given the major emphasis in the discussions of the BSDP Program Committee, i.e., the Library of Congress (LC), the Online Computer Library Center (OCLC), the Research Libraries Group (RLG), the Washington Library Network (WLN), and their constituents.

Basic Concepts

What is meant by authority control? Authority control is a process for insuring consistency of headings in a library catalog and consists of the following elements:

1. *distinguishing names*—intellectual formulation of the correct form of name following precedent and/or standard rules;
2. *showing relationships*—intellectual formulation of related names (variant forms, earlier or later names, parent bodies, etc.);
3. *documenting decisions*—documentation of this information via the creation of an authority record (thereby

assisting subsequent users of the same heading in determining relationship and identifying headings on bibliographic records).

What does a "standard" authority record contain? An authority record gives the established form of the heading, variations from the established form of the heading, related established headings, and information justifying the selected form and providing further identification in some cases.

What is a catalog? A catalog is a file of bibliographic records that describe and identify the items they represent. It has the following characteristics:

1. All headings are distinct from all other headings;
2. relationships between distinct headings and between multiple forms of the heading are indicated;
3. records for bibliographic items are not duplicated;
4. the file is organized through a particular arrangement of the file itself or through indexes to the file.

How are these characteristics achieved in the catalog? These characteristics are achieved by establishing a unique form for each name and subject term (hereafter referred to as an "established form of heading" or "established heading") and a cross reference struc-

This paper was prepared originally as a discussion paper for a special meeting of the Council on Library Resources (CLR) Bibliographic Services Development Program (BSDP), Program Committee.

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ture, i.e., authority control. By establishing headings and constructing cross references, it becomes possible to find all of the works pertinent to that heading regardless of whether all of the items are listed under one form or several related forms. In addition, it is possible to distinguish between two persons or agencies with the same name. The use of established headings and a cross reference structure also assists in the posting of locations for a single title to that title in a union catalog.

What is the purpose of the library catalog? The catalog exists to provide access to the bibliographic items the records describe. For access to the physical items, a location device specifying where the item resides is provided.

Access to bibliographic items or to the catalog itself is needed to satisfy a variety of requirements of the public and library staff. These needs include searching for a unique item, searching for a category of material (e.g., all the works of one author, all the editions of a work, all material on a subject), searching for a unique bibliographic record, searching for a category of records (e.g., all the records of one author, all the records of the editions of a work, all records containing a particular subject term). In each instance, access is via the catalog, ending in one case with physical items and in other cases with bibliographic records.

Does the form of the catalog (e.g., card, book, or machine-readable) affect the purpose of the catalog? The catalog serves the purposes given above regardless of the form. The machine-readable catalog, however, offers additional access not practical (indeed almost impossible) in card or book form catalogs. Although there are limits due to the costs of processing and storage of the machine-readable records, the flexibility of the machine-readable catalog has greater potential than the book or card form catalog in satisfying the purposes of the catalog.

Present Situation and Near Term Projections

My views on this topic are discussed in "Network Level Decisions: Basis and Key Issues" given at the 1981 University of Pittsburgh conference.¹ These views are briefly summarized below and, in some cases, additional information has been added.

Library of Congress LC maintains a catalog and is the largest single producer of bibliographic data. A very complete authority record is created for all headings in bibliographic records. These authority records show distinct forms, all relationships, and information to assist the work of catalogers requiring the same heading. There is no duplication of records for the same bibliographic item.

LC will never take on all the functions of a bibliographic utility, i.e., using its online system to provide services for large numbers of libraries. It does, however, support resource sharing and has made and will continue to make cooperative arrangements with selected libraries. Contrived data is amalgamated into the LC files, the headings are integrated into LC's authority system, and the records are made available through the MARC Distribution Service.

Bibliographic Utilities OCLC is the largest utility, is nationwide in scope, and serves all types of libraries. Its database is accessible in an arranged order and there is a fair amount of consistency in forms of name. This is achieved through the inclusion of LC's bibliographic and name authority files and through the emphasis placed by member libraries on establishing headings consistent with LC headings. There is, however, considerable duplication of bibliographic records (perhaps as high as 19 percent as noted in a recent article²). The functions OCLC performs most satisfactorily are interlibrary loan and shared cataloging. The authority control part of cataloging is performed by its member libraries against their local catalogs using OCLC as a data resource for the desired record and using the OCLC record modification facility to adjust the record to be compatible with the local catalog.

The Research Libraries Information Network (RLIN) is the bibliographic utility of RLG. It is nationwide in scope and principally serves research libraries. Its membership is smaller than that of OCLC. RLIN is dedicated to building a union data base for sharing resources and maintaining access to individual member catalogs. RLIN does not at the present time have an authority control mechanism. Consistency in the data is achieved, as at OCLC, through access to LC data and user dedication to consistency with LC practice. RLIN is

presently involved in the design and implementation of an authority control system.

WLN is a utility that is regional in scope and serves all types of libraries. Like RLIN, its membership is smaller than that of OCLC. It also maintains a union catalog for resource sharing and provides access to individual member catalogs. WLN has an automated authority control system that assures consistency of heading forms and provides relationship information. The WLN system does not support the recording of additional information that assists the work of catalogers requiring the same heading. The technical solution to authority control for RLIN and WLN could be more difficult than that for LC if RLIN and WLN chose to support different authority files for their different members.

There is a growing tendency toward decentralization. This is due to the realization that, (1) certain functions, such as acquisitions, serial check-in, circulation, and collection development, can be more effectively implemented in regional, state, or local environments, and (2) the present technology (i.e., mini and micro computer systems) offers potential advantages and cost effectiveness.

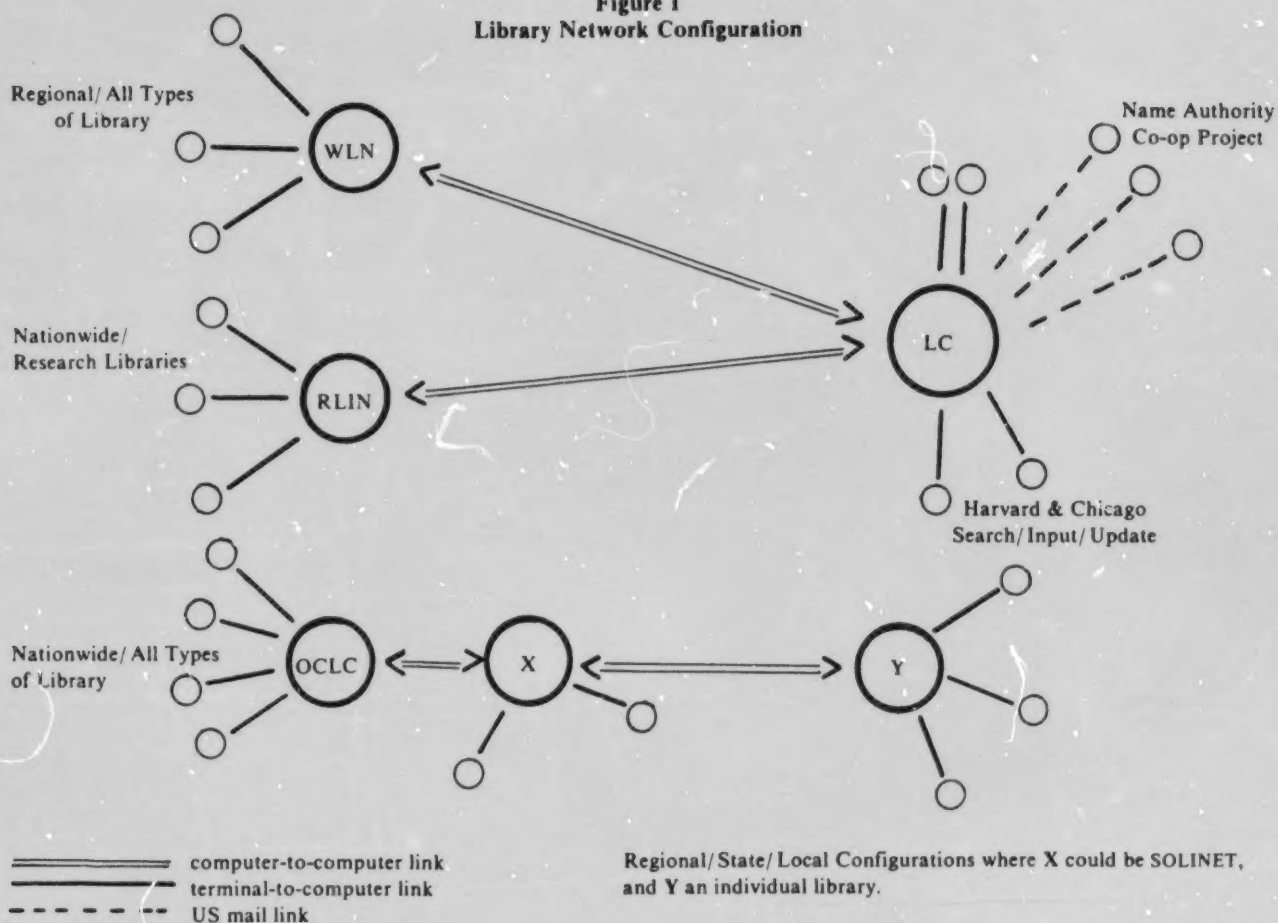
The utilities, as data resources of contributed cataloging records, could certainly be linked to regional, state, or local systems where specific services would be provided to the membership (or individual libraries) of that regional, state, or local system. Figure 1 schematically represents the discussion in this section.

Rationale for Authority Control

Discovering or creating distinct forms of headings, showing relationships between headings, and documenting information about the distinct form in a separate record are resource-using activities. If the premise is correct that library users desire individual items, particular works, or particular versions of works, and that they may approach a catalog with a citation that may take many forms, then the activity of identifying distinct forms and showing relationships must be carried out at some point by someone or something. Cases can be made for the cataloger to do the work, the end user to do the work, or the machine to do it.

Today we principally place that burden on the librarian—the cataloger. The efficiency of this arrangement is

Figure 1
Library Network Configuration



that, rather than each user having to individually establish the relationship (or fail to do so and not obtain material), the cataloger does it once. This is obviously preferable to leaving authority work to the users. If we shift authority control work to the users, one cataloger's task becomes the task of many users, each one duplicating the effort over and over again. Note that the machine can certainly give assistance to the cataloger in establishing authority control, as is well illustrated by the sophisticated Author Index Manufacturing System (AIMS) at Chemical Abstracts Service.

Whether or not the machine can actually be a substitute for authority control has already been clearly documented by Malinconico.

Unless a machine readable data base has a coherent underlying organization, sophisticated retrieval can only ensure access to individual items.... computerized access, although enormously powerful, is by its mechanical

nature extremely literal. It cannot create associations that are not explicitly present in a data base; it deals only with ideas represented in written form. To a computer all terms are meaningless combinations of meaningless characters. It cannot discover relationships, for example, between: *Nefatali Reyes* and *Neruda, Pablo*; *Jose E. Rivera* and *Jose Eustasio Rivera*; *Narcotics* and *Opiates*, *Horse* and *Horses*; or *Airplanes* and *Aeroplanes*.... All a computer can do is permit one to enter particular parts of a systematic organization of information; it cannot create that organization.³

Searching techniques using words and/or terms in bibliographic records are powerful additions to the traditional access and are sometimes claimed to replace it. Again, if data are inconsistent and relationships are not explicitly indicated, such retrieval will only be effective by chance, as demonstrated by the examples in the above quotation and in Appendix A. If, in an automated sys-

tem, bibliographic and authority files are linked, changes to and validation of headings can more easily take place. However, authority control is independent of this linkage and can be implemented without it. This point is frequently misunderstood.

The catalog, be it of an individual library or a union catalog of many libraries, is used for a variety of functions: user access, cataloging, interlibrary loan, circulation, acquisitions, etc. It has already been established that user access and cataloging are both supported by authority control. The other functions named are directly dependent on the catalog; thus authority control assists them also, especially interlibrary loan and acquisitions.

Interlibrary loan is best supported if locations are affixed to one record for a desired item. With a large number of reporting institutions, even if all locations are not reported to the same record (because the data file has duplicate records under various headings)

the negative effect is less. On the other hand, if a file has only a few libraries reporting, posting locations to different records for the same title would have a more significant impact.

The acquisition process takes variously formed bibliographic citations and compares them against library holdings to identify whether the items are already held by the library in some form. Failure to make matches can result in costly duplication in purchasing items.

For circulation, the item itself is originally identified through the catalog, the circulation record being established once the item has been identified. Thus, although the circulation file per se does not require authority control (as further access to its records is usually by book number), each record in that file was generated from the catalog which did require authority control to identify the item.

The above indicates that the usefulness of authority control extends to many of the functions carried out in a library, primarily because of the centrality of the bibliographic record and its organized placement in the catalog. It does not matter at what level of a network the activity takes place—individual, institution, consortium, utility, etc.—the assistance provided by authority control remains. Are there legitimate distinctions that can be made regarding the degree of control required at the different levels? (Degrees of control here means imposing one or more of the elements of authority control given in the previous section, "What is meant by authority control?")

Before we had bibliographic utilities, the National Union Catalog (NUC) essentially served to support interlibrary loan and shared cataloging at the national level. This "printed utility" is similar to the present bibliographic utilities in that contributions come from many sources; however, LC's Catalog Management and Publication Division staff imposes consistency and a degree of authority control on the records. It distinguishes names, shows relationships, and documents these decisions with a brief form of authority record.⁴

Today, the "highest" level of the network hierarchy would be RLIN, WLN, OCLC, and LC and of those four, RLIN, WLN, and LC all have or plan to have authority control; thus they can be expected to provide authority support at least comparable to that provided by

the NUC.

Like the NUC, OCLC has records contributed from many sources. However, the effort to bring consistency to that data is left to the individual libraries and there are very few checks or requirements in the procedural and automated systems to ensure control. But OCLC users, because of their need for consistency in their own catalogs, do try to impose some distinct name consistency on the OCLC data; thus the OCLC data base has some characteristics of a catalog. Note that facilities for showing and documenting relationships are not provided for that database.

What are the costs of this very limited authority control? Larry Auld points out in his survey article that, with the availability of NUC data, libraries came to depend more and more on outside record sources for derived authority control.⁵ This was natural. It appears that savings to libraries results from authority work being done at the highest level in a hierarchy. For example, if authority work were carried out at OCLC, all of the member libraries would share the effort and results. If instead, a computerized regional center connected to OCLC, such as SOLINET, supports authority work, then fewer libraries share the effort and results. If the regional network does not offer authority facilities, then the individual libraries of the region must carry out the work. Finally, if the individual library fails to support authority work, the burden shifts to the library patrons.

Authority control is costly no matter what level of the hierarchy. There are economies in having it at the highest level so that less work is duplicated—there are added costs to imposing it on larger databases (albeit that is where it is the most useful) and on databases that have grown large without it.

Conclusion

Some degree of authority control is required for the majority of library operations and it can be imposed anywhere in the network configuration or hierarchical structure. It follows that the work of imposing authority control can be performed once at a level of the network configuration at which many institutions are sharing the data, or the work can be performed by the many institutions themselves. The decision as to which way to go should be based on economics and we ought to reserve our energies for this analysis and stop ques-

tioning the validity of authority control. It appears that BSDP could consider two possible investigations:

1. Measure the costs of imposing authority control at the bibliographic utility level vs. the costs of carrying it out at lower levels in the network configuration;
2. Investigate the relative cost benefits of different degrees of authority control applied at different levels of the network.

The first possibility appears extremely difficult to carry out. However, it might be appropriate for BSDP to commission a consultant to consider both these recommendations and report to the Program Committee prior to any further work.⁶

Acknowledgement

I would like to acknowledge the assistance of Sally H. McCallum, who took many hours out of her busy schedule to deliberate with me the content of this paper.

References

- ¹Henriette D. Avram, "Network-Level Decisions: Basis and Key Issues," in *Information Technology: Critical Choices for Library Decision-Makers*, ed. by Allen Kent and Thomas J. Galvin (New York: Marcel Dekker, 1982), pp. 157-175.
- ²Patricia Dwyer Wanninger, "Is the OCLC Database Too Large? A Study of the Effect of Duplicate Records in the OCLC System," *Library Resources & Technical Services* 26 (October/December 1982): 359.
- ³S. Michael Malinconico, "Bibliographic Data Base Organization, and Authority File Control," *Wilson Library Bulletin* 54 (September 1979): 37-38. Reprinted in *Authority Control: The Key to Tomorrow's Catalog*, ed. by Mary W. Ghikas (Phoenix, AZ: Oryx Press, 1982), p. 4.
- ⁴The NUC authority record is not as complete as that created by LC for its cataloging.
- ⁵Larry Auld, "Authority Control: An Eighty-Year Review," *Library Resources & Technical Services* 26 (October/December 1982): 325.
- ⁶After discussion concerning this paper, the Program Committee decided to address the investigation briefly discussed in point 2. Staff from CLR and LC were asked to prepare a statement of work discussing this investigation for review by the Program Committee.

APPENDIX A*

Variation in a name or form of name may arise from many causes. Some of these are given below as examples.

1. Personal names

- (a) variant spellings of a name:
Dante Alighieri, Dante Alaghieri, Dante Alleghieri,
Dante Allighieri
Shakespeare, Shakespear, Shakspeare, Shakspere
Vergilius, Virgilius
- (b) different romanizations of a name originally not written in the roman script:
Cechov, Čechov, Cecof, Cecov, Čehov, Cekof, Cekoff,
Cekov, Cekow, Chehov, Chekhov, Tchehov, Tchekhof,
Tchekhoff, Tchekhov, Tchěkhov, Tchekoff, Tchekov,
Tschechhoff, Tschechov†
Pouchkin, Pouchkine, Pouschkin, Puschkin, Pusckin,
Pushkin, Puskin, Pūskint†
- (c) different phonetic transcriptions, that is, different conversions of a name originally written in the roman script into a non-roman script.†
- (d) Different linguistic forms:
Caesar, Cäsar, César, Cesare
Nicolas Copernic, Niccolo Copernico, Nicolaus Copernicus
Mikolaj Kopernik, Nikolaus Kopernikus
Francesco, Francis, Francisco, Franciscus, François, Franz
Homer, Hoinere, Homero, Homerus, Omero
- (e) use of the complete and incomplete forms:
Boileau, Boileau-Despreaux
Dante, Dante Alighieri
G.M., Gaetano Melzi
Lope de Vega, Lope Felix de Vega Carpio
Sacy, Silvestre de Sacy
- (f) change of status:
Benjamin Disraeli, who became Earl of Baconsfield
Lily von Kretschman, who became Lily von Gizychi, then
Lily Braun
Enea Silvio Piccolomini, who became Pope Pius II
- (g) arbitrary or legal change of name or form of name:
Paul Bötticher, who became Paul de Lagarde
Emile Salomom Wilhelm Herzog, who became
André Maurois

- (h) use of pseudonyms, nicknames, clandestine names assumed for certain political activities or other assumed names, generic appellations, etc.:

Lewis Carroll, pseudonym of Charles Lutwidge Dodgson
Ein Deutscher, appellation used by Julius Langbehn
Le Sage de l'Hydrophonie, appellation used by
Jacques Destrées
Nikolaus Lenau, pseudonym of Nikolaus Niernbsch
von Strehlenau
Stendhal, pseudonym of Henri Beyle
Tintoretto, nickname of Jacopo Robusti
Tito, assumed name of Josip Broz

- (i) use of the title of another work:

auteur de *Rogue et noir*, for Stendhal (pseudonym of
Henrie Beyle)
author of *Waverly*, for Walter Scott

2. Corporate names

- (a) variant spellings of a name:
Central-Anstalt für Meteorologie und Erdmagnetismus
Zentralanstalt für Meteorologie und Erdmagnetisumus
- (b) different linguistic forms:
Canadian Library Association
Association canadienne des bibliothèques
- (c) use of shorter names or of official names:
Biblioteca Vaticana, Biblioteca apostolica Vaticana
Musée du Louvre, Musée national du Louvre
Stanford University, Leland Stanford Junior University
- (d) change of name or form of name:
Geographische Gesellschaft, Wien
Österreichische geographische Gesellschaft.

* This appendix is taken from the annotated edition of the Statement of Principles adopted at the International Conference on Cataloging Principles, Paris, October 1961.

† The Cyrillic examples have been omitted due to the limitations of the typesetting equipment.

APPENDIX A-2

Summary of Responses to ARL Questionnaire on Accepting Cataloging Copy

(Note: The ARL Office plans to prepare a fuller report on the questionnaire responses.)

Contribution of Cataloging Copy to Shared Data Bases.

1. Data bases to which ARL members contribute.

Of ARL's 116 member libraries (not counting the Library of Congress):

- 6 do not enter any catalog records into a shared data base;
- 75 enter some or all cataloging only into OCLC;
- 5 enter some or all catalog records into both OCLC and RLIN (some by tape loading, some online);
- 19 enter some or all cataloging only into RLIN;
- 7 enter some or all cataloging into UTLAS;
- 2 enter cataloging into DOBIS;
- 1 enters catalog records into both OCLC and WLN;
- 1 enters cataloging into WLN only.

2. Extent of contribution by size of library.

- a. All of ARL's 17 largest university libraries (i.e. those with ARL Library Index scores greater than +1.00) enter cataloging into at least one shared data base.
- b. Of the 72 "average" ARL university libraries (i.e. those with index scores between -1.00 and +1.00), 69 contribute records to a shared data base and 3 do not.
- c. Of the 12 smallest ARL libraries (i.e. those with index scores below -1.00), 10 contribute records to a shared data base and 2 do not.

Acceptance of LC Copy.

1. Are modifications made to LC copy?

Of 109 ARL libraries responding to the questionnaire:

58 (53%) usually use LC copy without modification;

48 (44%) usually make some standard modifications;

3 (3%) find LC copy available for less than 50% of their cataloging.
(These 3 libraries—i.e. CRL, NAL, NLM—are so specialized that their responses are not included in the summaries which follow.)

2. Acceptance of LC copy according to data base membership.

	OCLC users (N=70)	RLIN users (N=22)	UTLAS users (N=7)
Use LC copy as is	53% (37)	64% (14)	43% (3)
Modify LC copy	47% (33)	36% (8)	57% (4)

3. Acceptance of LC copy according to size of library.

	Index 1.00 + (N=17)	Index -1.00 - 1.00 (N=69)	Index -1.00 - (N=12)
Use LC copy as is	41% (7)	55% (38)	75% (9)
Modify LC copy	59% (10)	45% (31)	25% (3)

4. Nature of modifications.

Libraries were asked to characterize the nature of their standard changes to LC copy. Their responses can be roughly summarized as follows:

<u>Modification</u>	<u>No. of libraries</u>
1. Changes to class or shelf numbers	38
2. Changes to form or tracing decision for series	25
3. Changing access points to AACR 2 form	17
4. Changing access points for other reasons	18
5. Other	22

Use of Other Libraries Cataloging Copy.

Libraries were asked whether they accepted any other libraries' copy on the same basis as they used LC copy. While most libraries were able to answer "yes" or "no," many felt the need to note that they did accept LC copy, but found it necessary to check the non-LC records more carefully. These responses are characterized as "yes, but ..." Some libraries that answered "no" found it necessary to note that they actually did accept some other copy once some additional checking was done. These responses are characterized as "No, but ..." Technically, any variation in routine from that used for LC copy should have led to a "No" response.

1. Number of respondents accepting some other libraries' copy on same basis as LC copy (N=106).

Yes	36% (38)
Yes, but	34% (36)
No, but	9% (10)
No	21% (22)

2. Acceptance of other libraries' copy according to data base participation.

	OCLC users (N=70)	RLIN users (N=22)	UTLAS users (N=7)
Yes	29% (20)	50% (11)	72% (5)
Yes, but	31% (22)	50% (11)	14% (1)
No, but	14% (10)	0	14% (1)
No	26% (18)	0	0

3. Acceptance of other libraries' copy according to size of library.

	Index 1.00 + (N=17)	Index -1.00 - 1.00 (N=69)	Index -1.00 - (N=12)
Yes	47% (8)	33% (23)	33% (4)
Yes, but	35% (6)	30% (21)	42% (5)
No, but	6% (1)	12% (8)	8% (1)
No	12% (2)	25% (17)	17% (2)

4. Number of libraries from which copy is accepted.

Sixty-eight ARL libraries were able to provide estimates of the number of other libraries from which they accepted copy:

<u>Number of libraries from which copy is accepted</u>	<u>Number of libraries responding</u>
1-3	12% (8)
4-14	15% (10)
15-30	19% (13)
31-44	3% (2)
45 or more	51% (35)

5. Number of libraries from which copy is accepted according to data base participation.

Number of libraries from which copy is accepted	No. % OCLC libs. responding (N=37)	No. % RLIN libs. responding (N=21)	No. % UTLAS libs. responding (N=6)
1-3	8% (3)	5% (1)	17% (1)
4-14	5% (2)	24% (5)	33% (2)
15-30	8% (3)	43% (9)	17% (1)
31-44	5% (2)	28% (6)	0
45 or more	73% (27)	0	33% (2)

Determining Whether Cataloging Copy is Acceptable.

1. Approaches to selecting acceptable copy.

ARL libraries reported two general approaches to determining whether other libraries' copy could be used. The first approach is by type of record. Libraries review each record to see whether it meets specified standards, e.g. the presence of certain fields, the presence of an LC class number. The second approach is by source of record. Libraries will decide to accept copy from a specified group or list of libraries.

2. Use of lists of sources for acceptable copy.

- 19 libraries noted that they had developed a list of specific libraries from which copy is accepted.
- 35 libraries noted that copy was accepted from all or most members of specified groups of libraries (e.g. consortium or special project participants).
- 2 libraries noted the use of a list of libraries from which copy was not accepted.
- 3 libraries noted they had tried to create a list of acceptable sources, but had found the task too problematic.

3. Use of consortium members copy.

- 16 OCLC participants noted that they accepted copy from all or most OCLC libraries.
- 10 OCLC participants noted they accepted copy from selected OCLC libraries.
- 8 RLG members noted they accepted copy from all or most RLG members.
- 5 RLG members noted they accepted copy from selected RLG members.

Prospects for Accepting More Non-LC Cataloging Copy.

1. Do ARL libraries see any prospects for accepting copy from more libraries in the future?

Of the 98 libraries responding to this question:

42 (43%) responded yes;
 28 (29%) responded maybe;
 28 (29%) responded no.

2. Expectations for accepting more copy according to data base memberships.

	OCLC users (N=63)	RLIN users (N=20)	UTLAS users (N=7)
Yes expect more	40% (25)	40% (8)	57% (4)
Maybe expect more	27% (17)	40% (8)	29% (2)
Do not expect more	33% (21)	20% (4)	14% (1)

3. Expectations for accepting more copy according to size of library.

	Index 1.00 + (N=16)	Index -1.00 - 1.00 (N=63)	Index -1.00 - (N=11)
Yes expect more	38% (6)	49% (31)	18% (2)
Maybe expect more	31% (5)	29% (18)	27% (3)
Do not expect more	31% (5)	22% (14)	55% (6)

4. Reasons given by libraries for expecting to accept more cataloging in the future.

<u>Reason</u>	<u>Number of Libraries Commenting</u>
Improved quality of records	21
Advent of new system (BCLN, MELVYL, on-line user catalog, OCLC "enhance" implementation, on-line authority control, etc.)	14
Local policy change increasing the number of acceptable records	13
More libraries contributing records to data base	11
Are creating or revising list or acceptable libraries	5
Access to another/other data base(s)	4
Increased number of records in data base	3
Plan to join consortium	2
Improved authority work	1

5. Reasons given by libraries for not expecting to accept more cataloging copy in the future.

<u>Reason</u>	<u>Number of Libraries Commenting</u>
Quality is improving, but too many modifications are still required	9
LC and consortium cataloging quality has declined	8
Already accept records from any consortium member	7
Expect little change in quality of records	6
Studies show no consistent quality apart from LC	3
AACR2 makes it difficult to identify consistently high-quality records	2
Already accept as much as is practical	2
Limited access to records	1
Not that many acceptable records are available anyway	1

APPENDIX B

Executive Director's Report

Activities and Status Report: April-September 1983

ARL Plan Progress

The ARL staff and Executive Committee have continued to work on refining the Five-Year Plan of Action. Suggestions made by members at the May 1983 Meeting and adopted by the Board of Directors at its May 6 meeting have been incorporated and a revised Plan of Action was distributed as part of the materials mailed to all members on September 21. A financial plan for 1984 was developed for consideration by the Board and membership during the October meeting.

The Executive Committee reviewed the structure of the Association at its meeting on July 22 and decided that, while committees already in existence can undertake a significant portion of the tasks outlined in the Plan of Action, some augmentation and adjustment is needed for optimum implementation of the six objectives. Three new task forces have been formed, as outlined in President Govan's memo to directors of ARL libraries that accompanied the distribution of the Five-Year and 1984 Operating Plans (September 21, 1983).

ARL committee and task force chairmen will meet as a group with the Board of Directors on October 18 to explore the relationship of committees and the Board to the Plan of Action, to examine areas of responsibility, and to coordinate the work of the Association's elected and appointed leadership groups.

Staff Changes

Carol Mandel, Associate Executive Director since May 1979 will leave ARL at the end of November to join the staff of the University of California, San Diego as Assistant University Librarian for Access Services. UC-San Diego and ARL have worked out an arrangement whereby Ms. Mandel will continue to work for ARL a few days a month as manager of two major grant-funded activities—the Microform and CONSER A&I Projects. She will also continue to assist on the National Collections Inventory Project.

Olga Habib, ARL's bookkeeper and business manager for the last ten years, will retire in December.

Two key staff vacancies in an office of 6 1/2 people must needs result in some dislocation, at least for a short period. However, preliminary steps have already been taken to fill the vacancies.

Microform Project

Work on the ARL Microform Project continues apace under the able coordination of Jeffrey Heynen. A grant from the Mellon Foundation will enable ARL to operate the Microform Cataloging Clearinghouse through September 1984. A detailed report on this activity appeared in the August 1983 issue of the

Newsletter. The NEH-funded preservation microfilming program of the Project is also progressing satisfactorily in gathering information about the status of preservation microfilming activities in ARL libraries and developing mechanisms for improving the effectiveness of these activities. As a step toward the achievement of this program's objective, the Project's Advisory Committee has recommended the preparation of a guide to preservation microfilming. This tool is needed by libraries currently engaged in filming as well as those embarking on new programs or contracting out for filming services. A funding proposal has been submitted to the Mellon Foundation. If funds are forthcoming, the guide will be prepared by Jeffrey Heynen and Nancy Gwinn, with the assistance of other preservation experts.

CONSER A&I Coverage Project

Julia Blixrud, formerly of MINITEX, has been appointed Manager of the CONSER A&I Coverage Project, and will begin work on November 1. The project, which will be based at the National Serials Data Program at LC, will add abstracting and indexing coverage information to serials in the CONSER data base. Approximately one-third of the money needed to include as many abstracting services as originally outlined is still to be found. The search for additional funds will continue; in the meantime, work on a solid core list of 50,000 unique serial titles will commence.

National Collections Inventory Project

As reported at the May meeting, the Council on Library Resources agreed to fund Phase I of the ARL National Collections Inventory Project (the development of technical and process manuals to be used by libraries in completing the Online Conspectus). A proposal to pilot-test these tools and training aids at the University of Notre Dame and Indiana and Purdue Universities has been submitted to the Lilly Foundation. The Indiana libraries will also develop methodologies and structures for cooperative decision-making in collection development—methodologies which we hope will be applicable in other groups of ARL libraries. We expect to hear from the Lilly Foundation about funding soon. ARL and RLG staff have prepared a list of points to be covered by a formal agreement between the two organizations to provide for the entry of information from any ARL library into the Online Conspectus database. These points will be considered by the ARL Board at its October meeting.

Scholarly Communication

The ACLS Committee on Scholarly Communication has enthusiastically accepted a report recommending the establishment of an Office of Scholarly Communication within ACLS. Funding for the first five year's activities is currently being sought. ARL, through its participation in the ACLS Committee on Scholarly Communication, has strongly supported the establishment of the Office, and has made a commitment to cooperate closely with the work of the new Office.

Research Library Career Brochure

The recruitment brochure developed by the Task Force on Library Education

has been published and 3,000 copies have been widely distributed. We continue to receive many requests for copies, and hope that ARL libraries will use the brochure in encouraging talented individuals to join our profession.

Telecommunications Coalition

A number of organizations have responded favorably to an invitation from ARL and ALA to join in a coalition that will hire an expert consultant to monitor developments affecting library data transmission. OCLC, RLG, the Medical Library Association, EDUCOM, and several of the regional library networks are among these. In a parallel development, several of the higher education associations including AAU, NACUBO, ACE and NASULGC have decided to confer about how telecommunications-related issues of national policy should be approached, and will plan to coordinate their efforts with those of ARL/ALA.

HEA Title II-C

Despite another attempt by the Administration to eliminate funding, Title II-C has survived the Congressional appropriations process, and is again funded at \$6 million for FY 1984. Representatives and Senators alike continue to support strongly appropriations for this program.

The Higher Education Act is due for reauthorization in 1985; the Department of Education held hearings during the summer preparatory to presenting departmental proposals to Congress in 1984. Despite the fact that Title II-C was noticeably missing in the Department's official notification of hearings in the Federal Register, the ARL legislative network again demonstrated its effectiveness. Directors or other representatives of member libraries presented testimony in person at each of the hearings, and a number also sent written comments for the record, as did the ARL Office. ARL efforts in this regard were coordinated with the ALA Washington Office and with the Association of Library and Information Science Educators (ALISE, formerly AALS), in order to insure that Titles A, B, and C all received attention at the hearings.

The House Post-secondary Education Subcommittee has also begun to gather information for reauthorization. In order to aid the Subcommittee in its work, the ARL Office surveyed member libraries to ascertain how the membership felt about the effectiveness of this program and what level of funding should be recommended for the reauthorization bill. Nearly 62% of U.S. ARL libraries responded to the questionnaire; only two respondents expressed the opinion that Title II-C should not be reauthorized. ARL members by-and-large believe that II-C should be funded at between \$10 and \$15 million dollars annually; and respondents identified approximately \$45 to \$60 million dollars worth of projects in their libraries that could and should be accomplished if funding were available. ARL staff is working closely with the House Subcommittee staff on the reauthorization draft. On the Senate side, Senator Stafford has indicated that his committee will not begin consideration of HEA reauthorization proposals until next year.

National Endowment for the Humanities

NEH appropriations for fiscal 1984 were set by the Conference Committee on

September 29 at \$140 million, an increase of 7.6% over FY 1983. The Research Programs Division, of which Research Resources is a part, received \$18.4 million for the coming year, compared to \$16.55 million for FY '83. The exact distribution of the approved amount among the various sections of the Division is not yet known.

Work has already begun on the identification of issues to be brought before the appropriations subcommittees during funding hearings for FY 1985, which will begin in March of 1984. The National Humanities Alliance will be working with ARL to significantly increase the amounts devoted to preservation of library materials by the Endowment.

Copyright

In July, the ARL Office distributed to all members a package of materials on copyright-related issues, including two briefing papers prepared by legal counsel; these are addressed to faculty and academic administrators, and to librarians and archivists. As a result of articles announcing the availability of the papers in Education Daily, the Chronicle of Higher Education, and Library Journal, the Office has already received more than 300 requests for the papers. Approximately 40% of these requests are from deans, department chairs, presidents or chancellors; 20% are from teaching faculty; and the rest are from a diverse group of interested requestors, including scholarly publishers, university legal officers, school district administrators, state attorneys-general, and librarians.

The National Association of College and University Business Officers (NACUBO) will feature the ARL briefing papers in a forthcoming issue of its newsletter, which goes to more than a thousand academic administrators, and will distribute copies to its readers on request.

Unclassified Controlled Nuclear Information (UCNI)

During July, August, and September, the Department of Energy held several hearings on proposed regulations to bring under strict security control a large group of unclassified federal documents relating to nuclear (or atomic energy) information. The regulations as proposed would severely limit access to this information, much of which has been accessible to the public for years in depository and other library collections. The August 1983 ARL Newsletter reported on this matter.

Jean Hargrave, of the New York State Library, presented testimony on behalf of ARL at the hearings held in Washington. Several other ARL directors collaborated on their university's testimony. The proposed regulations were seen generally by testifiers to be broadly deleterious to academic research and to intellectual freedom.

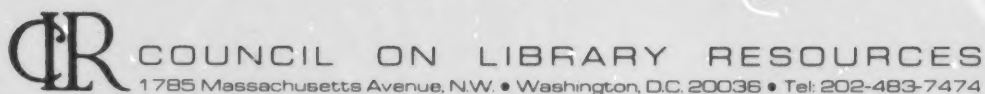
National Archives and Records Service (NARS)

In response to a request from the Administrator of the General Services Administration, ARL provided comments on the report of an internal NARS task force that examined the Archive's priorities, programs, and management structure. While supporting a majority of the recommendations made by the task force to

improve NARS programs and functions, ARL's comments expressed the conviction that basic, long-term improvement at the Archives will best be ensured by granting independent status to the agency. In this opinion, ARL is in agreement with all of the scholarly societies that commented on the report, and with a majority of other respondents whose comments we have seen.

Conclusion

The Association has concluded a fruitful six months of work, in which all of the roles articulated for ARL during his presidency by LeMoyne Anderson have been actively in play. As a forum, we addressed our organizational goals and objectives meaningfully during the Banff meeting. We continued to operate several programs of importance to research libraries and to the academic community, including the various programs of the Office of Management Studies. We acted as liaison to other educational and library organizations in the areas of scholarly communications, copyright, telecommunications policy, standards for bibliographic control, etc. We coordinated cooperative work in several areas, and we have acted as an advocate for research libraries with various agencies of the federal government. In addition, the Association's secretariat performed the ongoing tasks assigned to it: gathering ARL's statistics for our annual publications; publishing the issues of the Newsletter and Minutes of the May Membership Meeting; providing educational and developmental opportunities for staff members of ARL libraries; helping member institutions to assess themselves and to plan improvements in their management and operations; managing the Association's financial income and outflow; supporting the work of the Board and the Association's committees; and responding to innumerable requests for information about research libraries from the press, the public, and other segments of the library community.



October 17, 1983

COUNCIL ON LIBRARY RESOURCES

BIBLIOGRAPHIC SERVICE DEVELOPMENT PROGRAM

Report to the
Association of Research Libraries
Chapel Hill, North Carolina

This report is organized according to the major program areas of BSDP. If there are questions about any point in the report, please do not hesitate to contact C. Lee Jones at the Council.

STANDARDS AND GUIDES

1. One of the problems associated with all bibliographic records has been the lack of a standard way to record detailed holdings information. The University of Florida and nine other research libraries in the southeast had been working on the problem and trying to develop a detailed holding standard recommendation. In order to expose their work to the broadest possible community, a special meeting was funded by CLR through the University of Florida. The final report of that meeting led to yet another meeting to resolve the differences between the proposed detailed and existing summary holdings standards. Information received from Z39, the sponsor of the second meeting, suggests that the problems were resolved and that we may soon have a detailed holdings standard that is compatible with the summary standard.

2. The Council provided \$50,000 to the Association of American Publishers (AAP) to help fund the development of a standard for coding manuscripts in electronic form. Clearly, the publishing community would like to receive machine-readable manuscripts complete with standard codes so that the editorial and other services that need to be performed (including peer review) can be accomplished without rekeying the manuscript. The standard is intended to be independent of any specific hardware and to require minimal author coding. Library benefits include capturing author generated subject descriptors. University computing activities may also find the standard to be a means for linking various computing and word-processing systems. If certain bibliographic information can be captured from the original manuscript keystrokes, the basic cataloging effort may be reduced and the prospects for improved subject searching in online catalogs improved. Dean Robert Hayes, UCLA, serves on the Project Management Team representing the library and university computing interests. The first phase of the study has been completed and work on the second has begun. Aspen Systems is the contractor doing the actual work.

3. The Linked Systems Project (LSP), involving the Library of Congress, the Washington Library Network, and the Research Libraries Group, has completed a review of the Application Level Protocol developed by Jim Aagaard at Northwestern University. This protocol is the top layer of the seven layer telecommunications convention that is critical to the success of the linked systems concept.

ACCESS TO BIBLIOGRAPHIC DATA

1. The full impact of OCLC's decision to copyright their database has not yet been fully understood. In efforts to understand the impact, the BSDP Program Committee has held several discussions on the topic. The issue will continue to receive attention until it is clear what the copyrighting means for such nationally important databases as CONSER and the newspaper subset of CONSER.

2. The Council has awarded a small grant to the Research Libraries Group to help plan for the integration of the machine-readable data files (MRDF) into the RLIN database. Once these resources can be recorded in the RLIN database, access to machine-readable data file resources can be shared throughout the RLG network and, in time, with any linked system. The strategies used for the integration will be available to other database managers.

3. A consultant has completed a contract to summarize the current status of state-based bibliographic services. This issue has been raised by the leaders of the shared cataloging services and identified as a possible duplication of effort and services already available to the states. A draft of the report was discussed at the last Newtork Advisory Committee meeting and several deficiencies were pointed out. Additional work has been done on the paper and it has been sent to the members of NAC in preparation for another discussion session at the next meeting.

4. Professor Rosenberg of the University of Michigan has been working on a software package that will allow individuals to locate bibliographic records on the large shared cataloging services, to capture required citations, develop a database and reformat the data into standard footnote and reference formats. Much of the work is now complete and is being marketed as two separate packages, each costing \$250 per copy. The product should help make large databases more useful to the individual seeking to capture information required for research writing.

5. With the maturing of computing and telecommunications as they are applied in libraries, it is sobering to realize that the basic bibliographic record and its elements were selected when the parameters for design were embodied in the 3"x5" catalog card. Very little has been done to alter or change the nature of the information collected on any given item being added to the collection. It is probably time for some basic thought on the fundamental requirements for the identification of information and how these requirements might be met in the machine environment of the 1990's and beyond. Any suggestions on how to approach this topic will be much appreciated.

6. Two consultants are at work assessing the extent of retrospective conversion activities. The question to be answered is, "Is there a need for a national strategy for retrospective conversion?" A final document is expected before the end of the year.

7. Plans are now underway for a conference focused on Bibliographic Services and User Needs. The object is to review advances in bibliographic services over the course of the last five years and to help plan what should happen in the next two or three.

LINKED BIBLIOGRAPHIC DATABASES

1. The Standard Network Interconnection (SNI) sub-project of the LSP continues to make significant progress in creating the technical links between the systems of the three participants. Eight major reports have been received during the last six months. These represent a watershed of all the background work that has been going on at all three sites. Testing of various parts of the link and telecommunication protocol layers is proceeding at a brisk clip. The revised schedule for completion of the telecommunication infrastructure for the LSP calls for final testing before the end of 1983.

2. Recent discussions have been held with a number of organizations concerning the extension of the LSP protocol link to other systems. Once the link now under development is successfully tested, it will be useful to extend the technique to other possibly smaller systems.

3. The prospects for a successful link for the purpose of exchanging authority information become brighter with each passing LSP milestone. In anticipation of that success, a small grant has been made to each LSP participant to explore the requirements for exchanging other types of information over the link. Initial planning reports have already been received. OCLC has been named a monitor to this project.

NAME AUTHORITY STRUCTURE

1. The Authorities Implementation of the LSP is scheduled to attempt the exchange of authority data over the link beginning in early 1984. Because of difficulty recruiting required staff to WLN, that organization may test its capabilities slightly later in the year. In preparation for the test, the major Detailed Design report has been completed and submitted to the Council.

2. The final draft of the Requirements for a Name Authority File Service has been completed and is undergoing final review before release.

SUBJECT AUTHORITY STRUCTURE AND SUBJECT ACCESS

1. Professor Chan of the University of Kentucky School of Library Science was awarded a grant to produce a second edition of her book, LC Subject Headings. The first edition is now badly out of date and is still used heavily in cataloging department and various teaching environments.

2. As more and more institutions begin working with bibliographic files for public access, the use of the LC subject headings in machine-readable form becomes more pervasive. Information flowing from the online catalog studies suggest that enhanced subject access is what most users wish were more available. In the past LC has not released the machine-readable subject headings file at predictable

intervals. Many in the field would like to see quarterly updates, but LC has discovered that it does not have the resources for such frequent updates. However, after discussions with many people, LC has agreed to release an updated version of the LC subject headings file in machine-readable form annually.

3. In spite of the indications from many online catalog studies that one of the prime concerns on the part of library users is subject access, there have been few proposals received at the Council to explore new ways to enhance subject access in online catalogs. The only area under active consideration at this time is one to test the utility of the Dewey Decimal Classification scheme as a subject access enhancement. We would like to see many proposals in this area.

CONSER

1. CLR staff continue to monitor the progress and problems of the CONSER database. There is little progress in solving the RLG CONSER members update/change access problem. CLR staff continue to assist the NEH newspaper project in terms of organization and assurance of continuity. There have been discussions with the National Agriculture Library on how to bring that organization back into the CONSER fold. The maintenance and expansion of the CONSER database is critical to the provision of high quality information service to all library users.

2. As indicated in the last report to ARL directors, a meeting of research library directors and online catalog designers was convened at Wye, Maryland in December 1982. The proceedings of that meeting have now been completed and, with the summaries of all of the final reports of the online catalog studies as appendix material, have been published by the Council. It is available from the Council for \$10.00 perpaid.

BIBLIOGRAPHIC PRODUCTS AND SERVICES

1. A project funded at Rutgers to plan a database for recording machine-readable texts in the humanities has been completed. Some problems of acquiring sufficient descriptive information on databases were identified. The key element in this project was the enthusiasm that contributors had for it. This bodes well for the successful accumulation of a useful database for scholars in the humanities.

2. All of the final reports of the online catalog study have been received and though there has been much analysis of the collected data, there is still much that can be learned from a more thorough analysis. Joe Matthews and Associates have been awarded a contract to do this in-depth analysis with the assistance of Gary Lawrence of the University of California. A final report is due by the end of the year and is expected to include heretofore unrecognized information about the construction of the next generation of online catalog systems.

3. The results of the online catalog studies continue to receive wide attention. A morning long presentation of the implications of the studies appeared as an ALA/LAMA program during the Los Angeles meeting. At that session it was announced that three of the principal investigators had collaborated on a book about the study and its results. It has been published by Neal Schuman who is also

publishing the papers presented at the Los Angeles session.

4. Following the LITA meeting in Baltimore, more than 30 online catalog system designers met under the auspices of the BSDP to discuss eight issues relative to online catalog design. Eight of the participants presented papers intended to challenge the group and they did; discussions were lively and productive. Brian Aveney is the editor of the proceedings which will be made available as soon as possible.

COST CONTROL

1. As one of the discussion documents for the Wye meeting, alluded to above, Joe Matthews and Gary Lawrence produced a draft document on Costs and Features on Online Catalogs. The first draft formed the basis for enthusiastic discussion among the participants. Those comments were then used in an extensive rewrite on the paper, a process involving Charles Miller. The document has been completed and will be published in the January issue of Information Technology and Libraries with reprints available from CLR.

USER GUIDANCE AND INFORMATION

1. Northwestern University has been funded to prepare a procedure for analyzing the effectiveness on online catalog training strategies using transaction log analysis to evaluate user performance. A major problem facing every library installing an online catalog is how to train users of that catalog and how to be sure that the training is effective. This project may shed some light on both issues. Both Washington University and the University of Wisconsin are participating in the project without CLR support.

2. The last report to ARL noted that a meeting had been held in San Antonio of 35 people charged with the training of online catalog users. The proceedings of that meeting have been prepared by Marsha McClintock of Ohio State and have been published by the Council. At a prepaid \$10.00 it is a bargain at twice the price.

OFFICE OF MANAGEMENT STUDIES

ASSOCIATION OF RESEARCH LIBRARIES

1527 New Hampshire Avenue, N.W., Washington, D.C. 20036 • (202) 232-8656

10/83

FOR DISTRIBUTION TO ARL MEMBERSHIP

Status of OMS Projects June - September 1983

1. General Electric Foundation Grant: All public services self-studies are progressing on schedule. Columbia, Michigan State and U.C. Riverside are midway through the project and have completed interim reports. Brown, North Carolina and Temple began the study process in September with plans to complete by June 1984.

Seven research grants were awarded to member libraries, and these projects were started during the summer. Topics covered include:

University of Arizona	Developing library instruction programs in a scientific discipline
Cornell University	Identifying appropriate library services for agriculture researchers
University of Illinois/Urbana	Assessing the needs of "invisible" users: those using the library via computers outside the library
Michigan State University	Identifying and analyzing non-users
New York University	Assessing users' effectiveness with an online catalog
Pennsylvania State University	Comparative analysis of four types of user instructions for an online catalog
Texas A&M University	The librarian's role with end-user use of commercial data bases

Plans for the second year of the grant include a staff change. Pat Swanson, the project coordinator who was on leave from the University of Chicago, is returning to Chicago as Assistant University Librarian for Sciences. Her responsibilities will be divided among several OMS staff with Jane Rosenberg coordinating the research projects. Pat has agreed to continue helping the Office by consulting on the self-study projects already started. Plans have also been made for a panel presentation at the May ACRL conference on the results of the Public Services Self-Studies.

2. The Eugene and Agnes G. Meyer Foundation Grant: A final report on this study of Cooperative Collection Development among the six libraries of the Washington, D.C. area consortium is being prepared. Reports on the four library Collection Analysis Project studies are somewhat delayed but should be available by the end of the year.
3. The Preservation Planning Program Resource Notebook Dissemination Grant: A final performance report was submitted to the National Endowment for the Humanities on July 15, as of June, half of the 500 printed copies has been distributed to libraries.
4. Consultant Training Program: The following 22 librarians were selected to participate in the final class of the Consultant Training Program:

Mary J. Cronin, Assistant Director for Public Services, Marquette University
 Allan J. Dyson, University Librarian, University of California, Santa Cruz
 Bela Foltin, Head, Fine Arts & Media Departments, University of Georgia
 Alan E. Hagyard, Associate Library Systems Analyst, Yale University
 Clifford H. Haka, Information Librarian, Michigan State University
 Olive C. James, Chief Loan, Division, Library of Congress
 Gail A. Kennedy, Head of Acquisitions, University of Kentucky
 David F. Kohl, Assistant Director for Undergraduate Libraries, University of Illinois at Urbana-Champaign
 John Kupersmith, Assistant for Public Services Programs, University of Texas at Austin
 Patricia McClung, Senior Program Associate, Research Libraries Group, Inc.
 James R. Martin, Assistant Director for Public Services, Florida State University
 Phyllis S. Mirsky, Assistant University Librarian, Sciences, University of California, San Diego
 Julie B. Nye, Consultant, Bahama, North Carolina
 Lance D. Query, Director, Library Research & Analysis, Northwestern University
 John D. Racine, Acting Assistant Director for Technical Services, University of Missouri, Columbia
 Anne Reuland, Information Service Librarian, Vanderbilt University
 Jeanne Richardson, Head of Science Libraries, University of Kansas
 Beth J. Shapiro, Assistant Director for Readers' Services, Michigan State University
 Pat Silvernail, Assistant University Librarian for Public Services, University of Oregon
 Barbara von Wahlde, Associate Director for Technical Services, University of Michigan
 Patricia B. Yocum, Head & Senior Associate Librarian Natural, Science, Museums & Biological Station Libraries, University of Michigan

Participants completed a two-week Consultation Skills Workshop at the end of September which included consulting assignments at the University of Maryland, Georgetown University, Catholic University, Library of Congress/Serials Records Division and the National Agricultural Library.

5. Academic Library Program Studies: Collection Analysis Projects are underway at Vanderbilt, Colorado and Houston. Final ALP reports were prepared by Arizona, Michigan and Tulsa. Other ALP studies are continuing at Syracuse and Sacramento.
6. The Systems and Procedures Exchange Center: Since the last board meeting the center has issued SPEC Flyers/Kits on the topics of: (June) Library Materials Cost Studies; (July/August) Online Catalogs; (September) Building Renovation.

A survey of all ARL members on Branch Libraries was conducted, with a 90% return as of October 1. An On-Demand Survey on archives was sent to all public universities at the request of the University of Massachusetts. An expanded SPEC index was produced and distributed to all liaisons.

The Resource Notebook on Staff Development was published and distributed in June.

7. The Training Program: Recruitment efforts to fill the vacant Training Program Specialist position were stalled due to career developments with the three finalists. A review of needs and prospects will be held with the OMS Advisory Committee at the ARL meeting.

Plans for a Management Institute for ARL directors were advanced when a survey of directors indicated that 47 were interested in the idea. A working agenda was developed based on the interests expressed by the directors and registrants were invited. However, only thirteen directors registered and the Institute has been postponed.

The Management Skills Institute scheduled for August in Ann Arbor was cancelled due to low registration.

The schedule for 1984 Institutes was prepared and locations identified. Brochures describing these public institutes were designed and distributed.

8. Program to Support National and Regional Cooperative Collection Development: Approximately \$50,000 was secured from the Council on Library Resources, Inc. for Phase I of the National Collections Inventory Project. This Phase includes development of a manual and training materials to assist libraries in implementing a standard, descriptive conspectus of collections. In addition, this Phase will begin to resolve technical issues around conspectus development and the availability of results to the research community. A proposal for Phase II - a test of the materials and the process in three ARL libraries in Indiana - has been prepared and submitted.

9. Institute for Library Educators: This proposal requests \$175,907 over a three-year period to design and operate a series of annual three-week Institutes to enrich library educators' understanding of research library issues and needs. The Institute will involve two weeks of workshops and a one-week field experience in a major research library. Librarians, university administrators and leading specialists from non-library fields will join a select group of library educators in studying the forces that characterize and influence the current and future state of research libraries. The result will be a strengthened mutual understanding of research libraries' requirements from library education. The initial response from the Council is one of interest in further developing the ideas presented.
10. Exploratory Letter on the Future of the Academic Library Program: A funding and development strategy for advancing the Academic Library Program's self-study resources was submitted to CLR and Mellon Foundations. At the heart of this approach is the design and testing of a self-study for technical services in research libraries.

D.E. Webster

APPENDIX E-1

ATTENDANCE AT 103ND MEMBERSHIP MEETING
CHAPEL HILL, NORTH CAROLINA

October 19-20, 1983

University of Alabama Libraries D. Kaye Gapen	University of California, Santa Barbara Library Margaret Deacon
University of Alberta Library Peter Freeman	Canada Inst. for Scientific & Technical Info. Elmer V. Smith
University of Arizona Library W. David Laird	Case Western Reserve University Libraries Ann Drain
Arizona State University Library Donald Riggs	Center for Research Libraries Donald B. Simpson
Boston Public Library Not Represented	University of Chicago Library Martin D. Runkle
Boston University Library John Laucus	University of Cincinnati Libraries Charles B. Osburn
Brigham Young University Library Sterling J. Albrecht	University of Colorado Library Clyde Walton
University of British Columbia Library Not Represented	Colorado State University Library Le Moyne W. Anderson
Brown University Library Merrily E. Taylor	Columbia University Libraries Patricia Battin
University of California, Berkeley Library Joseph Rosenthal	University of Connecticut Library John P. McDonald
University of California, Davis Library Bernard Kreissman	Cornell University Libraries Ryburn M. Ross
University of California, Irvine Library Calvin J. Boyer	Dartmouth College Libraries Margaret A. Otto
University of California, Los Angeles Library Russell Shank	University of Delaware Library Sysan Brynteson
University of California, Riverside Library Joan Chambers	Duke University Libraries Elvin E. Strowd
University of California, San Diego Library Millicent D. Abell	Emory University Library Herbert F. Johnson

University of Florida Libraries
R. Max Willocks

Florida State University Library
Charles E. Miller

Georgetown University Library
Not Represented

University of Georgia Libraries
David F. Bishop

Georgia Institute of Technology
Helen Citron

University of Guelph Library
Margaret Beckman

Harvard University Library
Not Represented

University of Hawaii Library
John R. Haak

University of Houston Libraries
Robin Downes

Howard University Libraries
Kenneth Wilson

University of Illinois Library
Hugh C. Atkinson

Indiana University Libraries
Elaine F. Sloan

University of Iowa Libraries
Dale M. Bentz

Iowa State University Library
Warren B. Kuhn

John Crerar Library
William S. Budington

Johns Hopkins University Library
Susan K. Martin

University of Kansas Library
James Ranz

University of Kentucky Libraries
Paul A. Willis

Kent State University Libraries
Not Represented

Library of Congress
William J. Welsh

Linda Hall Library
Larry X. Besant

Louisiana State University Library
George Guidry, Jr.

McGill University Library
Marianne Scott

McMaster University Library
Graham R. Hill

University of Manitoba Libraries
Earl Ferguson

University of Maryland Library
H. Joanne Harrar

University of Massachusetts Libraries
Richard J. Talbot

Massachusetts Institute of Technology Libraries
Jay K. Lucker

University of Miami Library
Frank Rodgers

University of Michigan Library
Richard M. Dougherty

Michigan State University Library
Richard E. Chapin

University of Minnesota Libraries
Eldred Smith

University of Missouri Library
Thomas W. Shaughnessy

National Agricultural Library
Joseph H. Howard

National Library of Canada
Not Represented

National Library of Medicine
Kent A. Smith

University of Nebraska-Lincoln Libraries
Not Represented

Newberry Library
Not Represented

University of New Mexico Library
Paul Vassallo

New York Public Library
David H. Stam

New York State Library
Peter Paulson

New York University Libraries
Not Represented

University of North Carolina Libraries
James F. Govan

North Carolina State University
I.T. Littleton

Northwestern University Libraries
John P. McGowan

University of Notre Dame Libraries
Robert C. Miller

Ohio State University Libraries
William J. Studer

University of Oklahoma Library
Sul H. Lee

Oklahoma State University Library
Roscoe Rouse

University of Oregon Library
George W. Shipman

University of Pennsylvania Libraries
Richard De Gennaro

Pennsylvania State University Library
Stuart Forth

University of Pittsburgh Libraries
Anne Woodsworth

Princeton University Library
Donald Koepp

Purdue University Library
Joseph M. Dagnese

Queen's University Library
Margot B. McBurney

Rice University Library
Samuel Carrington

University of Rochester Libraries
James F. Wyatt

Rutgers University Library
Shirley Bolles

University of Saskatchewan Library
Nancy A. Brown

Smithsonian Institution Libraries
Robert Maloy

University of South Carolina Library
Kenneth E. Toombs

University of Southern California Library
Not Represented

Southern Illinois University Library
Kenneth G. Peterson

Stanford University Libraries
James N. Myers

State Univ. of New York at Albany Libraries
Joseph Z. Nitecki

State Univ. of New York at Buffalo Libraries
Stanton F. Biddle

State Univ. of New York at Stony Brook Library
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Sharon Hogan

University of Tennessee Libraries
Donald R. Hunt

University of Texas Libraries
Linda Beaupre

Texas A & M University Library
Irene B. Hoadley

University of Toronto Libraries
Marilyn Sharrow

Tulane University Library
Philip E. Leinbach

University of Utah Libraries
Roger K. Hanson

Vanderbilt University Library
Joseph Scepanski

Virginia Polytechnic Inst. Libraries
H. Gordon Bechanan

University of Virginia Libraries
Ray Frantz

University of Washington Library
Not Represented

Washington State University Library
Allene F. Schnaitter

Washington University Libraries
Charles Churchwell

Wayne State University Libraries
James F. Williams, II

University of Western Ontario Library
Robert Lee

University of Wisconsin Libraries
Nancy Marshall

Yale University Libraries
Jack Siggins

York University Libraries
Ellen Hoffmann

APPENDIX E-2

ATTENDANCE BY THE MEMBERSHIP - NAME INDEX

Abell, Millicent D.
 Albrecht, Sterling J.
 Anderson, Le Moyne W.
 Atkinson, Hugh C.

Battin, Patricia
 Beaupre, Linda
 Bechanan, Gordon H.
 Beckman, Margaret
 Bentz, Dale M.
 Besant, Larry X.
 Biddle, Stanton F.
 Bishop, David F.
 Bolles, Shirley
 Boyer, Calvin J.
 Brown, Nancy
 Brynteson, Susan
 Budington, William S.

Carrington, Samuel
 Chambers, Joan
 Chapin, Richard E.
 Churchwell, Charles
 Citron, Helen

Dagnese, Joseph M.
 Deacon, Margaret
 De Gennaro, Richard
 Dougherty, Richard M.
 Downes, Robin
 Drain, Ann

Ferguson, Earl
 Forth, Stuart
 Frantz, Ray
 Freeman, Peter

Gapen, D. Kaye
 Govan, James F.
 Guidry, George

University of California, San Diego Library
 Brigham Young University Library
 Colorado State University Library
 University of Illinois Library

Columbia University Libraries
 University of Texas Libraries
 Virginia Poly. Inst. and State Univ. Libraries
 University of Guelph Library
 University of Iowa Libraries
 Linda Hall Library
 SUNY-Buffalo Libraries
 University of Georgia Libraries
 Rutgers University Library
 University of California, Irvine Library
 University of Saskatchewan Library
 University of Delaware Library
 John Crerar Library

Rice University Library
 University of California, Riverside Library
 Michigan State University Library
 Washington University Libraries
 Georgia Institute of Technology

Purdue University Library
 University of California, Davis Library
 University of Pennsylvania Libraries
 University of Michigan Library
 University of Houston Libraries
 Case Western Reserve University Libraries

University of Manitoba Libraries
 Pennsylvania State University Library
 University of Virginia Libraries
 University of Alberta Library

University of Alabama Libraries
 University of North Carolina Libraries
 Louisiana State University Library

Haak, John R.
Hanson, Roger K.
Harrar, H. Joanne
Hill, Graham R.
Hoadley, Irene B.
Hoffmann, Ellen
Hogan, Sharon
Howard, Joseph H.
Hunt, Donald R.

Johnson, Herbert F.

Koepp, Donald
Kreissman, Bernard
Kuhn, Warren B.

Laird, W. David
Laucas, John
Lee, Robert
Lee, Sul H.
Leinbach, Philip E.
Littleton, I.T.
Lucker, Jay K.

McBurney, Margot B.
McDonald, John P.
McGowan, John P.
Maloy, Robert
Marshall, Nancy
Martin, Susan K.
Miller, Charles E.
Miller, Robert C.
Myers, James N.

Nitecki, Joseph Z.

Osburn, Charles B.
Otto, Margaret A.

Paulson, Peter
Peterson, Kenneth G.

Ranz, James
Riggs, Donald
Rodgers, Frank
Rosenthal, Joseph
Ross, Ryburn M.
Rouse, Roscoe
Runkle, Martin D.

University of Hawaii Library
University of Utah Libraries
University of Maryland Library
McMaster University Library
Texas A&M University Library
York University Libraries
Temple University Libraries
National Agricultural Library
University of Tennessee Libraries

Emory University Library

Princeton University Library
University of California, Davis Library
Iowa State University Library

University of Arizona Library
Boston University Library
University of Western Ontario Libraries
University of Oklahoma Library
Tulane University Library
North Carolina State University Library
Massachusetts Institute of Technology
Libraries

Queen's University Library
University of Connecticut Library
Northwestern University Libraries
Smithsonian Institution Libraries
University of Wisconsin Libraries
Johns Hopkins University Library
Florida State University Library
University of Notre Dame Libraries
Stanford University Libraries

State Univ. of New York at Albany Libraries

University of Cincinnati Libraries
Dartmouth College Libraries

New York State Library
Southern Illinois University Library

University of Kansas Library
Arizona State University Library
University of Miami Library
University of California, Berkeley Library
Cornell University Library
Oklahoma State University Library
University of Chicago Library

Scepaniski, Joseph
Schnaitter, Allene F.
Scott, Marianne
Shank, Russell
Sharrow, Marilyn
Shaughnessy, Thomas W.
Shipman, George W.
Siggins, Jack
Simpson, Donald B.
Sloan, Elaine F.
Smith, Eldred
Smith, Elmer, V.
Smith, John B.
Smith, Kent A.
Stam, David H.
Strowd, Elvin E.
Studer, William J.

Talbot, Richard
Taylor, Merrily E.

Toombs, Kenneth E.

Vassallo, Paul

Walton, Clyde
Welsh, William J.
Williams, James F.
Willis, Paul A.
Willocks, R. Max
Wilson, Kenneth
Woodsworth, Anne
Wyatt, James F.

Vanderbilt University Library
Washington State University Library
McGill University Library
University of California, Los Angeles Library
University of Toronto Libraries
University of Missouri Library
University of Oregon Library
Yale University Libraries
Center for Research Libraries
Indiana University Libraries
University of Minnesota Libraries
Canada Inst. for Scientific & Technical Info.
SUNY-Stony Brook Library
National Library of Medicine
New York Public Library
Duke University Libraries
Ohio State University Libraries

University of Massachusetts Libraries
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University of South Carolina Libraries

University of New Mexico Library

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Library of Congress
Wayne State University Libraries
University of Kentucky Libraries
University of Florida Libraries
Howard University Libraries
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ARL Staff

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Carol A. Mandel, Associate Executive Director
Nicola Daval, Information Officer
Jeffrey Heynen, ARL Microform Project Coordinator
Alex Lichtenstein, Administrative Assistant
Duane E. Webster, Director, Office of Management Studies
Maxine K. Sitts, Information Services Specialist, Office of Management Studies
Patricia Swanson, Public Services Specialist, Office of Management Studies

Guests

Henriette Avram, Library of Congress - Speaker
Toni Bearman, National Commission on Libraries & Information Science
Rowland Brown, OCLC, Inc.
Guy Cloutier, Canadian Association of Research Libraries
Jill Fatzer, University of California, San Diego/CLR Intern
Jeffrey Field, National Endowment for the Humanities
Gordon Fretwell, University of Massachusetts
Walter Grattidge, General Electric Foundation
Warren Haas, Council on Library Resources
Edward Holley, University of North Carolina, School of Library Science
C. Lee Jones, Council on Library Resources
Deanna Marcum, Council on Library Resources
Richard McCoy, Research Libraries Group
Lucia Rather, Library of Congress - Speaker
Susan Rhee, Columbia University/CLR Intern
Gordon Rowley, Washington University/CLR Intern
Helen Spalding, Northwestern University/CLR Intern
Peter Sparks, Library of Congress
Robert Steuart, Simmons College, Graduate School of Library & Information Science
Sarah Thomas, University of Georgia/CLR Intern
Herbert White, Indiana University, Graduate School of Library & Information Science

APPENDIX F

ASSOCIATION OF RESEARCH LIBRARIES OFFICERS, BOARD OF DIRECTORS, COMMITTEES AND TASK FORCES

OCTOBER 1983

ARL OFFICERS AND BOARD FOR 1982-1983

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Patricia Battin (Oct. 1985)
John P. McDonald (Oct. 1983)
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Frank Rodgers (1983)
Martin D. Runkle (1983)
Richard J. Talbot (1985)
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ARL Microform Project Cataloging Program

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Joseph A. Boissé
Robert Grey Cole, University of Mississippi
Tina Kass, Research Libraries Group
Linda Hamilton, Research Publications, Inc.
Joseph Howard, Library of Congress
Mary Ellen Jacob, OCLC, Inc.
Elaine Sloan
Del Williams, Western Illinois University

ARL Microform Project Preservation Program

Harold Billings
Margaret Child, Smithsonian Institution Libraries
Nancy Gwinn, Research Libraries Group
Andrew Raymond, Northeast Document Conservation Center
Peter Sparks, Library of Congress
David H. Stam
Clyde Walton
David C. Weber
Margaret A. Otto

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Robert Lee (1985)
Kendon Stubbs, University of Virginia (1985)
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Peter Sparks, Library of Congress Liaison
David H. Stam (1985)
Clyde Walton (1983)
David C. Weber (1985)
Margaret A. Otto, Chair (1984)

Committee on Bibliographic Control

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David Bishop (1985)
D. Kaye Gapen (1985)
Joseph H. Howard (1984)
Martin D. Runkle (1985)
Joseph Rosenthal, Chair (1984)

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Herbert F. Johnson (1983)
Edward Holler, University of North Carolina (1985)
Herbert White, Indiana University (1984)
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Margot B. McBurney, Chair (1983)

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William S. Budington (1983)
Robert Maloy (1985)
Marilyn Sharrow (1985)
Roy L. Kidman, Chair (1983)

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Susan Brynteson
Richard K. Chapin
Graham Hill*
Donald Koepp*
Joseph Rosenthal*
Richard J. Talbot
Elaine Sloan, Chair

(* ARL representatives)

ARL TASK FORCES

Task Force on Collection Development (1983)

Hendrik Edleman
John Finzi, Library of Congress
Warren B. Kuhn
Charles B. Osburn
Marianne Scott
Robert C. Miller, Chair

Task Force on Research Library Staffing (1984)

Millicent D. Abell
Nancy A. Brown
Irene B. Hoadley
John P. McGowan
Russell Shank
Elored Smith, Chair

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ALA Committee on Cataloging: Description and Access George Gibbs, UCLA
ALA Interlibrary Loan Committee Joan Chambers
ALA Statistics Coordinating Committee Carol Mandel
ANSI Committee Z39 Joanne Harrar
CONSER Advisory Group Carol Mandel
Eighteenth-Century Short Title Catalogue Ray Frantz
Joint Committee on Union List of Serials William Budington
LC Cataloging-in-Publication Advisory Committee Carol Mandel
LC Network Advisory Committee William Studer
Society of American Archivists Herbert Finch, Cornell
Universal Serials & Book Exchange Joanne Harrar
National Conservation Advisory Committee David Stam
Voting Representative to IFLA Shirley Echelman
Voting Representative to ANSI Committee Z39 Shirley Echelman

TASK FORCES ON IMPLEMENTATION OF THE ARL PLAN OF ACTION

Task Force on Scholarly Communication (Objective One)

Hugh C. Atkinson
Stuart Forth
D. Kaye Gapen
Martin Runkle
George Shipman
William Studer
Charles Osburn, Chair

Task Force on Coordinated Development and Use of Collections (Objective Two)

Joseph H. Howard
Elaine Sloan
David H. Stam, Chair

Task Force on Objective Six

Herbert Johnson
Jay K. Lucker
Millicent D. Abell, Chair

APPENDIX G

MEMBERSHIP LIST

October 1983

University of Alabama Libraries
P.O. Box S

University, Alabama 35486
D. Kaye Gapen, Dean of Univ. Librs.
(205) 348-7561

University of Alberta Library
Edmonton, Alberta, Canada T6G 2JB
Peter Freeman, Librarian
(403) 432-3750

University of Arizona Library
Tucson, Arizona 85721
W. David Laird, Librarian
(602) 621-2101

Arizona State University Library
Tempe, Arizona 85281
Donald Riggs, Librarian
(602) 965-3417

Boston Public Library
Copley Square
Boston, Massachusetts 02117
Liam Kelly, Acting Librarian
(617) 536-5400

Boston University Library
Boston, Massachusetts 02215
John Laucus, Director
(617) 353-3710

Brigham Young University Library
324 Lee Library
Provo, Utah 84602
Sterling J. Albrecht, Univ. Libr.
(801) 378-2905

University of British Columbia Library
Vancouver, B.C., Canada V6T 1W5
Douglas McInnes, Librarian
(604) 228-2298

Brown University Library
Providence, Rhode Island 02912
Merrily Taylor, Librarian
(401) 863-2162

University of California Library, Berkeley
Berkeley, California 94720
Joseph Rosenthal, Director
(415) 642-3773

University of California Library, Davis
Davis, California 95616
Bernard Kreissman, Librarian
(916) 752-2110

University of California, Irvine
The University Library
P.O. Box 19557
Irvine, California 92713
Calvin J. Boyer, University Librarian
(714) 833-5212

University of California Library, Los Angeles
Los Angeles, California 90024
Russell Shank, Librarian
(213) 825-1201

University of California Library, Riverside
P.O. Box 5900
Riverside, California 92517
Joan Chambers, University Librarian
(714) 787-3221

University of California, San Diego
The University Library
La Jolla, California 92037
Millicent D. Abell, Librarian
(619) 452-3061

University of California, Santa Barbara
The University Library
Santa Barbara, California 93106
Margaret Deacon, Acting Librarian
(805) 961-3256

Canada Institute for Scientific
& Technical Information
National Research Council of Canada
Ottawa, Canada K1A 0S2
Elmer V. Smith, Director
(613) 993-2341

Case Western Reserve University Libraries
Cleveland, Ohio 44106
Ann Drain, Acting Director
(216) 368-2990

Center for Research Libraries
6050 South Kenwood Avenue
Chicago, Illinois 60637
Donald B. Simpson, Director
(312) 955-4545

University of Chicago Library
Chicago, Illinois 60637
Martin D. Runkle, Director
(312) 962-8744

University of Cincinnati Libraries
Cincinnati, Ohio 45221
Charles B. Osburn, Vice Provost
for Univ. Libraries
(513) 475-2218

University of Colorado Library
Boulder, Colorado 80309
Clyde Walton, Director
(303) 492-7511

Colorado State University Library
Fort Collins, Colorado 80521
Le Moyne W. Anderson, Director
(303) 491-5911

Columbia University Libraries
New York, New York 10027
Patricia Battin, Vice Pres.
& Univ. Libn.
(212) 280-2247

University of Connecticut Library
Storrs, Connecticut 06268
John P. McDonald, Director
(203) 486-2219

Cornell University Libraries
Ithaca, New York 14850
Louis E. Martin, Univ. Libn.
(607) 256-3689

Dartmouth College Libraries
Hanover, New Hampshire 03755
Margaret A. Otto, Libn.
(603) 646-2235

University of Delaware Library
Newark, Delaware 19711
Susan Brynteson, Director
(302) 738-2231

Duke University Libraries
Durham, North Carolina 27706
Elvin E. Strowd, University Librarian
(919) 684-2034

Emory University Library
Atlanta, Georgia 30322
Herbert F. Johnson, Director
(404) 329-6861

University of Florida Libraries
Gainesville, Florida 32603
Gustave A. Harrer, Director
(904) 392-0341

Florida State University Library
Tallahassee, Florida 32306
Charles E. Miller, Director
(904) 644-5211

Georgetown University Library
Washington, D.C. 20007
Joseph E. Jeffs, Director
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University of Georgia Libraries
Athens, Georgia 30601
David Bishop, Director
(404) 542-2716

Georgia Institute of Technology
Price Gilbert Memorial Library
Atlanta, Georgia 30332
E. G. Roberts, Director
(404) 894-4510

University of Guelph Library
Guelph, Ontario, Canada N1G 2W1
Margaret Beckman, Chief Libn.
(519) 824-4120

Harvard University Library
Wadsworth House
Cambridge, Massachusetts 02138
Oscar Handlin, Director
(617) 495-2401

University of Hawaii Library
2550 The Mall
Honolulu, Hawaii 96822
John R. Haak, Director
(808) 948-7205

University of Houston Libraries
Houston, Texas 77004
Robin Downes, Director
(713) 749-4241

Howard University Libraries
5000 Harvard Place, N.W.
Box 1059
Washington, D.C. 20059
Kenneth Wilson, Acting Director
(202) 636-7234

University of Illinois Library
1408 West Gregory Drive
Urbana, Illinois 61801
Hugh C. Atkinson, Univ. Librarian
(217) 333-0790

Indiana University Libraries
Bloomington, Indiana 47401
Elaine F. Sloan, Dean of Univ. Librs.
(812) 335-3404

University of Iowa Libraries
Iowa City, Iowa 52242
Dale M. Bentz, Univ. Librarian
(319) 353-4450

Iowa State University Library
Ames, Iowa 50011
Warren B. Kuhn, Dean of Lib. Services
(515) 294-1442

John Crerar Library
35 West 33rd Street
Chicago, Illinois 60616
William S. Budington, Director
(312) 225-2526

Johns Hopkins University Library
The Milton S. Eisenhower Library
Baltimore, Maryland 21218
Susan K. Martin, Librarian
(301) 338-8325

University of Kansas Library
Lawrence, Kansas 66044
James Ranz, Dean of Libraries
(913) 864-3601

University of Kentucky Libraries
Lexington, Kentucky 40506
Paul A. Willis, Director
(606) 257-3801

Kent State University Libraries
Kent, Ohio 44242
Hyman W. Kritzer, Assistant Provost &
Director of Libraries
(216) 672-2962

Library of Congress
Washington, D.C. 20540
Daniel J. Boorstin, Librarian
(202) 287-5205

Linda Hall Library
Kansas City, Missouri 64110
Larry X. Besant, Director
(816) 363-4600

Louisiana State University Library
Baton Rouge, Louisiana 70803
George Guidry, Jr., Director
(504) 388-2217

McGill University Library
3459 McTavish Street
Montreal, Canada H3A 1Y1
Marianne Scott, Director
(514) 392-4949

McMaster University Library
1280 Main Street West
Hamilton, Ontario, Canada L8S 4L6
Graham R. Hill, University Librarian
(416) 525-9140 Local 4359

The University of Manitoba Libraries
Winnipeg, Manitoba R3T 2N2
Canada
Earl Ferguson, Director
(204) 474-9881

University of Maryland Library
College Park, Maryland 20742
H. Joanne Harrar, Librarian
(301) 454-3011

University of Massachusetts Libraries
Amherst, Massachusetts 01002
Richard J. Talbot, Director
(413) 545-0284

Massachusetts Inst. of Technology Libs.
Cambridge, Massachusetts 02139
Jay K. Lucker, Director
(617) 253-5651

University of Miami Library

P.O. Box 248214
Coral Gables, Florida 33124
Frank Rodgers, Director
(305) 284-3551

University of Michigan Library

Ann Arbor, Michigan 48109
Richard M. Dougherty, Director
(313) 764-9356

Michigan State University Library

East Lansing, Michigan 48823
Richard E. Chapin, Director
(517) 355-2341

University of Minnesota Libraries

Minneapolis, Minnesota 55455
Eldred Smith, Director
(612) 373-3097

University of Missouri Library

Columbia, Missouri 65201
Thomas W. Shaughnessy, Director
(314) 882-4701

National Agricultural Library

Beltsville, Maryland 20705
Joseph H. Howard, Director
(301) 344-4248

National Library of Canada

395 Wellington Street
Ottawa, Ont., Canada K1A 0N4
Joseph Guy Sylvestre, Librarian
(613) 996-1623

National Library of Medicine

Bethesda, Maryland 20014
Martin M. Cummings, Director
(301) 496-6221

University of Nebraska-Lincoln

The University Libraries
Lincoln, Nebraska 68588-0410
Gerald A. Rudolph, Dean of Libraries
(402) 472-2526

The Newberry Library

60 West Walton Street
Chicago, Illinois 60610
Joel L. Samuels, Dir. of Lib. Sers.
(312) 943-9090

The University of New Mexico

General Library
Albuquerque, New Mexico 87131
Paul Vassallo, Dean of Lib. Sers.
(505) 277-4241

New York Public Library

Fifth Avenue at 42nd Street
New York, New York 10018
David H. Stam, Director of the
Research Libraries
(212) 930-0708

New York State Library

Cultural Education Center
Empire State Plaza
Albany, New York 12234
Joseph F. Shubert, State Librarian
(518) 474-5930

New York University Libraries

New York, New York 10003
Carlton C. Rochell, Dean of Libraries
(212) 598-7676

University of North Carolina Libraries

Chapel Hill, North Carolina 27515
James F. Govan, Director
(919) 962-1301

North Carolina State University

D.H. Hill Library
Box 5007
Raleigh, North Carolina 27650
I.T. Littleton, Director
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Roscoe Rouse, Dean of Lib. Ser.
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